



# USAID | INDIA

FROM THE AMERICAN PEOPLE

**RFA# RFA-386-11-000001**

**Issuance Date: Jan. 28, 2011**

**Closing Date of Concept Papers: Mar. 2, 2011**

**Closing Time: 1000 hours  
(New Delhi Time)**

**SUBJECT:** Request for Concept Papers/Applications (RFA)

Number **RFA-386-11-000001** - USAID/India's Economic  
Development of Tibetan Settlements (EDOTS)

The United States Agency for International Development (USAID) Mission in India is seeking concept papers and later on full applications from institutions of higher education, non-profit organizations and commercial organizations to support the Economic Development of Tibetan Settlements. Please refer to the attached Program Description herein for a complete statement of goals and expected results.

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended and the Federal Grant and Cooperative Agreement Act of 1977 as amended. Awards shall be made and administered in accordance with 22 CFR 226 (US NGOs), OMB Circulars A-21 (for Universities), A-110 (Uniform Administrative Requirements for Cooperative Agreements and Other Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations), A-122 (for non-profit organizations), A-133 (Audits of States, Local Governments, and Non-Profit Organizations) (for other than US NGOs), USAID Standard Provisions, and the Federal Acquisition Regulation (FAR) Part 31 (for-profit organizations). Please note that no profit/fee is allowed under assistance. Forgone profit does not qualify as cost-sharing or leveraging.

Subject to the availability of funds, the Government intends to award one cooperative agreement under this RFA. USAID however, reserves the right not to enter in to any award. The agreement will be made in accordance with evaluation procedures provided in Attachment E. USAID intends to provide approximately \$2 million in total USAID funding to be cover a two year period.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

- Attachment A - Schedule;
- Attachment B - Program Description;
- Attachment C - Standard Provisions;

Attachment D - Application Procedures;  
Attachment E - Evaluation Criteria  
Attachment F - Annexes

If your organization decides to submit a concept paper, it must be received by the closing date and time indicated at the top of this cover letter. All concepts papers must be submitted to [indiarco@usaid.gov](mailto:indiarco@usaid.gov).

Issuance of this RFA does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U. S. Government to pay for costs incurred in the preparation and submission of an application. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution is via the internet. This RFA and any future amendments can be downloaded from [www.grants.gov](http://www.grants.gov). All interested parties are highly encouraged to register on [www.grants.gov](http://www.grants.gov) to receive automatic notification of amendments to this RFA. It is the responsibility of the recipient of the application document to ensure that they have received all documents from [www.grants.gov](http://www.grants.gov) in their entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. If you have difficulty accessing the RFA, please contact Mr. Sumit Dutta at [indiarco@usaid.gov](mailto:indiarco@usaid.gov).

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

Attachment E - Evaluation Criteria  
Attachment D - Application Procedures  
Attachment B - Program Description  
This Cover Letter

All questions and requests for clarification must be received by **Feb. 14, 2011** no later than 1000 hours (New Delhi time) and should be sent to the following email address: [indiarco@usaid.gov](mailto:indiarco@usaid.gov) with a copy to Sumit Dutta, A & A Specialist at [sdutta@usaid.gov](mailto:sdutta@usaid.gov).

**Applicants must not submit questions to any other USAID staff.**

Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

/sd/

Celeste Fulgham  
Regional Agreement Officer  
USAID/India

Attachment: a/s

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**ATTACHMENT A****SCHEDULE****A.1 PURPOSE OF COOPERATIVE AGREEMENT**

The purpose of this Cooperative Agreement is to provide support for the program described in Attachment 2 to this Cooperative Agreement entitled "Program Description."

**A.2 PERIOD OF COOPERATIVE AGREEMENT**

1. The effective date of this Cooperative Agreement is [REDACTED]. The estimated completion date of this Cooperative Agreement is [REDACTED].

2. Funds obligated hereunder are available for program expenditures for the estimated period ending [REDACTED].

**A.3 AMOUNT OF COOPERATIVE AGREEMENT AND PAYMENT**

1. The total estimated amount of this Cooperative Agreement for the period shown in A.2.1 above is \$TBD.

2. USAID hereby obligates the amount of \$TBD for program expenditures during the period set forth in A.2.2 above and as shown in the Budget below. USAID is not obligated to reimburse the Recipient for the expenditure of amounts in excess of the total obligated amount.

3. Payment will be made to the Recipient by TBD in accordance with procedures set forth in 22 CFR 226

**A.4 COOPERATIVE AGREEMENT BUDGET**

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with 22 CFR 226 (or relevant standard provision if award is to a non-US organization).

Development focused Budget line items	- (in US\$)			
	USAID Share	Cost Share	Leveraging	Total
Component 1: Improve Organic Agricultural Production and Output				
Component 2: Improve Capacity for Workforce Development				
Indirect Costs				
Total				

**A.5 ANNUAL WORKPLANS**

Annual Workplans shall be required of the Recipient that will detail the work to be accomplished during the upcoming year. The scope and format of the Annual Workplan will be agreed to between the Recipient and the AOTR during the first two weeks of award of the Agreement and is due 30 days after start of Agreement. Annual Workplans thereafter are due two weeks prior to the start of the following year of implementation. These Annual Workplans may be revised on an occasional basis, as needed, to reflect changes on the ground and with the concurrence of the AOTR and must include the AMP (see below). The workplan shall include the estimated monthly funding requirements during the upcoming year of program implementation, necessary to meet all program objectives within the Agreement. USAID will respond to the workplan within five calendar days. Any budgets attached to an Annual Workplan are informational only. They do not supersede the approved budgets included in the Agreement. Any changes to the budget require prior approval of the Agreement Officer.

As part of its initial Workplan, and all Annual Workplans thereafter, the Recipient in collaboration with the USAID AOTR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

**A.6 REPORTING AND EVALUATION** *(either 1) or 2) below will be included in final agreement)*

**1. Financial Reporting**

**1) For U.S. and Non-U.S. Non-Governmental Organizations (NGOs) without a Letter of Credit:**

(1) The Recipient must submit the Federal Financial Report (SF-425) via electronic submission on a quarterly basis to:

(a) Cognizant AOTR and

(b) USAID/India's Regional Financial Management Office

at: [rfmoindia@usaid.gov](mailto:rfmoindia@usaid.gov)

The Recipient shall include, as an attachment to the SF-425, expenditures by program element per quarterly progress reporting matrix.

(2) The recipient must submit the original and two copies of all final Federal Financial Reports (SF-425) to:

(a) Cognizant Agreement Officer at: [indiarco@usaid.gov](mailto:indiarco@usaid.gov)

(b) Cognizant AOTR and

(c) USAID/India's Regional Financial Management Office

at: [rfmoindia@usaid.gov](mailto:rfmoindia@usaid.gov)

Electronic copies of the SF-425 can be found at <http://www.whitehouse.gov/omb/grants/standardforms/ffreport.pdf> and <http://www.forms.gov/bgfPortal/docDetails.do?dId=15149>.

Line item instructions for completing the SF-425 can be found at: <http://www.whitehouse.gov/omb/grants/standardforms/ffrinstructions.pdf>

or

**2) For Organizations with a Letter of Credit:**

(1) The recipient must submit the Federal Financial Report (SF-425) on a quarterly basis via electronic transmission to:

- (a) The U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>)
- (b) Cognizant AOTR, and
- (c) USAID/India's Regional Financial Management Office at: [rfmoindia@usaid.gov](mailto:rfmoindia@usaid.gov)

and

(2) The recipient must submit the original and two copies of all final Federal Financial Reports (SF-425) to:

USAID/Washington, M/CFO/CMP-LOC Unit  
1300 Pennsylvania Ave.  
Washington, DC 20523-7700

and an electronic copy to:

- (a) The U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>)
- (b) Cognizant Agreement Officer at: [indiarco@usaid.gov](mailto:indiarco@usaid.gov)
- (c) Cognizant AOTR and
- (d) USAID/India's Regional Financial Management Office at: [rfmoindia@usaid.gov](mailto:rfmoindia@usaid.gov)

**2. Program Reporting**

Periodic progress reports are required quarterly within 30 days following the end of the reporting quarter. The last quarterly report of the reporting period shall be replaced by an annual report summarizing the entire previous year's accomplishments is required. A final report summarizing the entire period of performance and containing an index of all reports and information materials produced under this agreement is required no later than 90 days following the end of the period of performance.

Both periodic and annual progress reports shall be submitted in English electronically and in hard copy to the AOTR.

Performance reports must meet the general requirements included in 22 CFR 226.51; however, the information required by 22 CFR 226.51 must be supplied in the following standardized format:

Executive Summary - This section is a narrative summary of overall achievements against planned achievements and a brief description of any realized or potential performance challenges<sup>1</sup>. Achievements should be quantified against both principal and collateral grant targets/indicators wherever possible, leaving detailed analysis for later sections.

Summary Table - The Executive Summary should be followed by a table which identifies all results and their corresponding targets/indicators. Overall grant goals for each target and indicator shall be identified as well as planned and actual goals for the reporting period. In addition, costs incurred by result or group of results should be identified as well as planned and actual expenditures for the reporting period. This table is intended to serve as an at-a-glance data summary. An illustration is provided below:

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<sup>1</sup> Where performance challenges are caused by or related to management issues, the grantee shall include an additional reporting section on the matter, including the remedy taken or the proposed remedy to be taken.

Development-Focused Budget Line Items and budget amount	Indicator*	Annual Target for Fiscal Year 2011	Actual Targets Achieved for Reporting Quarter	Actual Cumulative Targets Achieved for Reporting Year	Expenditures for Reporting Quarter	Cumulative Expenditures for Fiscal Year	Program Element Funding	Actual Expenditures to Date
<u>Component 1:</u> Improve Organic Agricultural Production and Output	First Indicator.	TBD	_____	_____	\$ _____	\$ _____		\$ _____
	Second Indicator	TBD	_____	_____				
	Third Indicator....	TBD	_____	_____				
Total: \$TBD								
<u>Component 2:</u> Improve Capacity for Workforce Development	First Indicator.	TBD	_____	_____				
	Second Indicator	TBD	_____	_____				
	Third Indicator....	TBD	_____	_____				
Total: \$TBD								

\*The indicators above are required for reporting purposes. The PMP/AMP may include other Mission approved indicators.

Correlation to PMP/AMP - In this section, the Recipient shall describe how the performance being reported was monitored. This description shall reference the PMP/AMP methods used during the reporting period. If the PMP/AMP was not strictly followed, the grantee should provide a rationale for not using it.

Result by Result Analysis - This section will provide detailed analysis of the results summarized above as well as additional narrative regarding the achievements and challenges.

Financial Summary - This section is not a financial report; rather it summarizes financial expenditure data in reference to achievements. The most tangible statement in this section will be one regarding whether spending towards each result is "less than anticipated, on target with estimates, or more than anticipated." Reports which indicate that expenditures are less or more than anticipated will be supported with rationale detailing the probable cause(s). Reports which indicate that expenditures are more than anticipated must also include a plan for ensuring that the performance of the result will be met within the estimated grant budget for that result. Leveraging must also be reported in accordance with [http://www.usaid.gov/in/working with us/pdfs/ipn08\\_005.pdf](http://www.usaid.gov/in/working%20with%20us/pdfs/ipn08_005.pdf).

### **3. Final Agreement Completion Report**

Pursuant to 22 CFR 226.51(b) and the Program Description, a final performance report will be required under this award. The recipient shall prepare and submit three copies of a final/completion report to the AOTR which summarizes the accomplishments of this agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement.

The report shall be submitted within 90 days after the estimated completion date of this agreement.

The report shall:

- Contain an overall description of the activities under the Program during the period of this Agreement, and the significance of these activities;
- Describe the methods of assistance used and the pros and cons of these methods;
- Present life-of-project results towards achieving the project objectives and the performance indicators, as well as an analysis of how the indicators illustrate the project's impact on the accomplishment of the program's overall objectives;
- Summarize the program's accomplishments, as well as any unmet targets and the reasons for them including leveraging; and
- Discuss the issues and problems that emerged during program implementation and the lessons learned in dealing with them.

Compliance with USAID requirements - All reporting will comply with the USAID requirements tied with the use of different funding accounts and other agency requirements.

#### **4. Award Monitoring Plan**

The AMP must, as a minimum, address the following:

- Description of the Recipient's established system within which the particular AMP operates. The system refers to:
  - Organization-wide policies and procedures for monitoring and their relation to the immediate AMP.
  - Organizational staffing/expertise, roles, and responsibilities and how the staffing and expertise is to be used in the particular AMP, including the roles of subcontractors and subgrantees.
  - Automated and other methods used to gather, store, manipulate, summarize, analyze, and/or report performance data.
  - Procedures for regular communication with USAID regarding the status of monitoring activities, including a means for early notification of problems.
  - Means of addressing a discovered lack of progress or success. Procedures should focus on learning from mistakes, analyzing them, and ascertaining the reason for missteps.
- Information about all activities to be monitored under the AMP. The list of activities should be provided in a logical framework which:

- o Links activities to Agreement results—both those dictated by USAID in the solicitation and lower level or complementary results contained in the Recipient's approach.
- o Describes assumptions being made about the relationship of the activity to the Agreement result.
- o Identifies the indicators against which progress is to be measured.
- o Describes the methods to be used for monitoring. Methods for monitoring vary according to what it is being monitored. Some activities can be observed easily and costs and outputs can be measured against the original targets and timetable. Other activities are less easy to monitor in terms of quantitative achievements, especially such intangible effects as awareness and empowerment and their direct link to program interventions. Indirect or proxy indicators may have to be identified, even if these cannot be verified. By considering these factors at the planning stage, expected results can be kept realistic and cost-effective and the Recipient can recognize that not all available and useful indicators are 'objectively verifiable.'
- o Provides an illustrative schedule for discrete monitoring activities tied to the overall program work plan.

- Gender Consideration:

To the greatest extent possible, the Recipient shall include both men and women in all aspects of this program including participation and leadership in e.g., meetings, training, etc. The Recipient shall collect, analyze and submit to USAID sex-disaggregated data and proposed actions that will address any identified gender-related issues.

In order to ensure that USAID assistance makes the maximum optimal contribution to gender equality, performance management systems and evaluations must include gender-sensitive indicators and sex-disaggregated data when the technical analyses supporting the Agreement demonstrates that:

- a. The different roles and status of women and men affect the activities to be undertaken; and
- b. The anticipated results of the work would affect women and men differently.

**5. Close-out Plan**

Three months prior to the completion date of the Agreement, the Recipient shall submit a Close-out Plan in accordance with 22CFR226.71 to the Agreement Officer and AOTR.

## 6. Reporting Matrix

TYPE OF REPORT	DUE DATE	DISTRIBUTION
Annual Implementation/ Work Plan (See A.5) (to include leveraging per IPN 09-005)	30 days after award and annually thereafter two weeks prior to start of subsequent year of implementation	AOTR
Award Monitoring Plan (See A.6.4)	Draft due two weeks after award with final due 30 calendar days after award of Agreement	AOTR
Branding and Marking Plan (see Section A.16.2)	30 days of the Cooperative Agreement Award	AOTR
Financial Status Report (See A.6.1)	Quarterly : no later than 30 days after the end of each specified reporting period	AOTR and RFMO
Program Reports (See A.6.2)	Quarterly Reports due 30 days after end of quarter	AOTR
Reporting on Foreign Taxes (See A.16.4)	Annually : submit a report by April 16 of the for the last financial year ending March 31 (see C.2.11 of the CA)	AOTR & RFMO
Reporting on Value Added Taxes (See IPN - 08-001)	Quarterly : Submit VAT report with one week at the end of every Financial Qtr. for claiming reimbursement of VAT from GOI (supported with original invoices)	RFMO
Final Financial Report (See A.6.1)	90 days after completion of Agreement	AOTR & RFMO
Final Report (See A.6.3)	90 days after completion of the Agreement	AOTR, Agreement Officer
Close-out Plan (See A.6.5)	3 months prior to the completion date	AOTR, Agreement Officer

**A.7 INDIRECT COST RATE**

Pending establishment of revised provisional or final indirect cost rates, allowable indirect costs shall be reimbursed on the basis of the following negotiated provisional or predetermined rates and the appropriate bases:

<u>Description</u> <u>Period</u>	<u>Rate</u>	<u>Base</u>	<u>Type</u>
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TBD

**A.8 CEILING ON INDIRECT COST RATES AND FINAL REIMBURSEMENT FOR INDIRECT COSTS**

(a) Reimbursement for allowable indirect costs shall be at the lower rate of the final negotiated (or predetermined) rates, or the following ceiling rates:

The Prime recipient shall not receive indirect costs that exceed rates two percentage points or 10% of the individual indirect cost rates above, whichever is lower. The Prime recipient shall also negotiate ceiling indirect costs rates with their sub awardees that do not exceed two percentage points or 10% of the individual indirect costs rates in NICRA at time of award.

(b) The Government will not be obligated to pay any additional amount should the final indirect cost rates exceed the negotiated ceiling rates. If the final indirect cost rates are less than the negotiated ceiling rates, the negotiated rates will be reduced to conform to the lower rates. Final indirect costs exceeding the rate(s) applied to the base(s) shown above shall be absorbed by the Recipient.

(c) This understanding shall not change any monetary ceiling, obligation, or specific cost allowance or disallowance. Any changes in classifying or allocating indirect costs require the prior written approval of the Agreement Officer.

**A.9 TITLE TO PROPERTY**

Property Title will be vested with USAID if award is to a US NGO and with Recipient if to a non-US NGO.

**A.10 AUTHORIZED GEOGRAPHIC CODE**

The authorized geographic code for procurement of goods and services under this award is 000 with local procurement in accordance with 22CFR228.40 and the source, origin, nationality waiver signed by the USAID Administrator effective November 24, 2010.

**A.11 COST SHARE**

The Recipient agrees to expend an amount not less than **TBD** of the total activity costs as cost share.

**A.12 RESOURCE LEVERAGING/PUBLIC PRIVATE PARTNERSHIPS**

The recipient agrees to leverage an amount and/or resources not less than **TBD** from non-federal funds and partners.

Though resource leveraging is not subject to the requirements of 22 CFR 226.23, recipient must be able to demonstrate whether leveraged contributions have been obtained as proposed in program implementation in order to determine whether the desired impacts from the alliances are being achieved. Although the alliance partners are not subject to the guidelines in 22 CFR 226.23 when "resource leveraging" is used, USAID has the ability to revise or withdraw from the agreement when contributions are not forthcoming as originally proposed. Failure to meet these requirements shall lead to consequences as stated, including termination. The Recipient is required to report leveraging on a quarterly basis alongside the Cost Share in its Financial Reports.

With the annual work plan the recipient must, to the extent that the contributions are being proposed as "resource leveraging," provide at a minimum: 1) annual benchmarks that include proposed results to be accomplished with the USAID funds and the additional leveraging, and 2) annual timelines that include percentages or amounts depending on the structure of the alliance. See IPN 08-005

[http://www.usaid.gov/in/working\\_with\\_us/pdfs/ipn\\_08\\_005.pdf](http://www.usaid.gov/in/working_with_us/pdfs/ipn_08_005.pdf)

Leveraging does not include public(USG)-public(GOI)

**A. 13 SUBSTANTIAL INVOLVEMENT**

USAID/India will be substantially involved in the implementation of the project in the following manner:

1. The Agreement Officer shall provide prior written approval of Key Personnel considered essential to the successful implementation of the project for the following positions:

- **TBD**

2. USAID/India AOTR shall provide written approval of the recipient's annual implementation/work plan. USAID will not require approval of these plans more often than annually.

3. USAID/India AOTR shall provide concurrence of the sub-awards over \$25,000 if the entity was not mentioned by name in the original Program Description.
4. USAID/India AOTR shall provide approval of the recipient's Award Monitoring Plan.

#### **A.14 SPECIAL PROVISIONS**

##### **1. ENVIRONMENTAL COMPLIANCE**

(a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204

(<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Contractor environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Agreement.

(b) In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

(c) No activity funded under this Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

##### **2. TRAINING RESULTS AND INFORMATION NETWORK (TRAINET)**

###### **Exchange Visitors and Training**

The Recipient will conform to USAID Automated Directives System (ADS) Chapter 252 - Visa Compliance for Exchange Visitors and ADS 253 - Training for Development, as well as USAID/India-specific requirements for processing of J-1 Exchange Visitors.

The Recipient will enter applicable information into Trainet for any participant Training, third-country training and in-country training that is funded through this award.

Information and assistance on ADS 253 requirements is currently available from the Mission's contact person Ms. Ritika Sawhney at rsawhney@usaid.gov  
Telephone number +91-11-2419-8049.

#### **A.15 TECHNICAL DIRECTION**

Agreement Officer Technical Representative (AOTR)

Technical Directions during the performance of this Cooperative Agreement shall be provided by the Agreement Officer's Technical Representative (AOTR) from USAID/India's General Development Office, who will be designated separately by the Agreement Officer.

#### **A.16 ADDITIONAL PROVISIONS**

##### **1. PRESS RELATIONS**

The Recipient shall coordinate all press inquiries and statements with the USAID Agreement Officer's Technical Representative (AOTR). Recipient shall seek approval from AOTR before agreeing to or allowing staff to conduct interviews with the press. The Recipient shall not speak on behalf of USAID but will refer all requests for USAID information to the USAID AOTR, Communication, and/or press officer.

##### **2. BRANDING STRATEGY AND MARKING PLAN**

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or subaward, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended; 22 CFR 226.91. Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the "apparent successful Recipient," as defined in the regulation. The apparent successful Recipient's proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 22 CFR 226.91. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful Recipient, consistent with the provisions "Branding Strategy," "Marking Plan," and "Marking of USAID-funded Assistance Awards" contained in AAPD 05-11 and in 22 CFR 226.91. Please note that in contrast to "exceptions" to marking requirements, waivers based on circumstances in the host country must be approved by Mission

Directors or other USAID Principal Officers, see 22 CFR 226.91(j).

Branding and marking under this Cooperative Agreement will be carried out in accordance with AAPD 05-11  
[http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd\\_05\\_11.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd_05_11.pdf).

The Branding Strategy and Marking Plan is due 30 days after award of Agreement. (See Annex I for format)

### **3. USAID/INDIA ACQUISITION & ASSISTANCE -IPN NOTICES**

USAID/India Implementing Partner Notices (IPNs) are a part of this solicitation and will be made a part of the award document. The notices can be accessed at the USAID/India website at:  
[http://www.usaid.gov/in/working\\_with\\_us/ipnt.html](http://www.usaid.gov/in/working_with_us/ipnt.html)

### **4. REPORTING ON TAXATION OF U.S. FOREIGN ASSISTANCE**

(a) Reporting of Foreign Taxes. The Recipient must annually submit a final report by April 16 of the next year.

(b) Contents of Report. The reports must contain:

(i) Recipient name.

(ii) Contact name with phone, fax and e-mail.

(iii) Agreement number(s).

(iv) Amount of foreign taxes assessed by a foreign government [each foreign government must be listed separately] on commodity purchase transactions valued at \$500 or more financed with U.S. foreign assistance funds under this agreement during the prior U.S. fiscal year.

(v) Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance is to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if an assistance program for Lesotho involves the purchase of commodities in South Africa using foreign assistance funds, any taxes imposed by South Africa would not be reported in the report for Lesotho (or South Africa).

(vi) Any reimbursements received by the Recipient during the period in (iv) regardless of when the foreign tax was assessed plus, for the interim report, any reimbursements on the taxes reported in (iv) received by the Recipient through October 31 and for the final report, any reimbursements on the taxes reported in (iv) received through March 31.

(vii) The final report is an updated cumulative report of the interim report.

(viii) Reports are required even if the Recipient did not pay any taxes during the report period. (ix) Cumulative reports may be provided if the Recipient is implementing more than one program in a foreign country.

(c) Definitions. For purposes of this clause:

(i) "Agreement" includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements.

(ii) "Commodity" means any material, article, supply, goods, or equipment.

(iii) "Foreign government" includes any foreign governmental entity.

(iv) "Foreign taxes" means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

(d) Where. Submit the reports to: Regional Financial Management Office, USAID/India,

(e) Subagreements. The Recipient must include this reporting requirement in all applicable subcontracts, subgrants and other subagreements.

(f) For further information see <http://www.state.gov/m/rm/c10443.htm>.

**5. AGRICULTURAL ACTIVITIES (BUMPERS AMENDMENT)** (FY 2008 Act Sec. 613(b), as interpreted by the conference report for the original enactment).

No funds may be used for agricultural development activities (specifically, any testing or breeding feasibility study, variety improvement or introduction, consultancy, publication, conference, or training) that would compete with a similar commodity grown or produced in the United States unless the activity:

(a) Is designed to increase food security in developing countries and where such activities will not have a significant impact in the export of agricultural commodities of the United States; or

(b) Is a research activity intended primarily to benefit American producers."

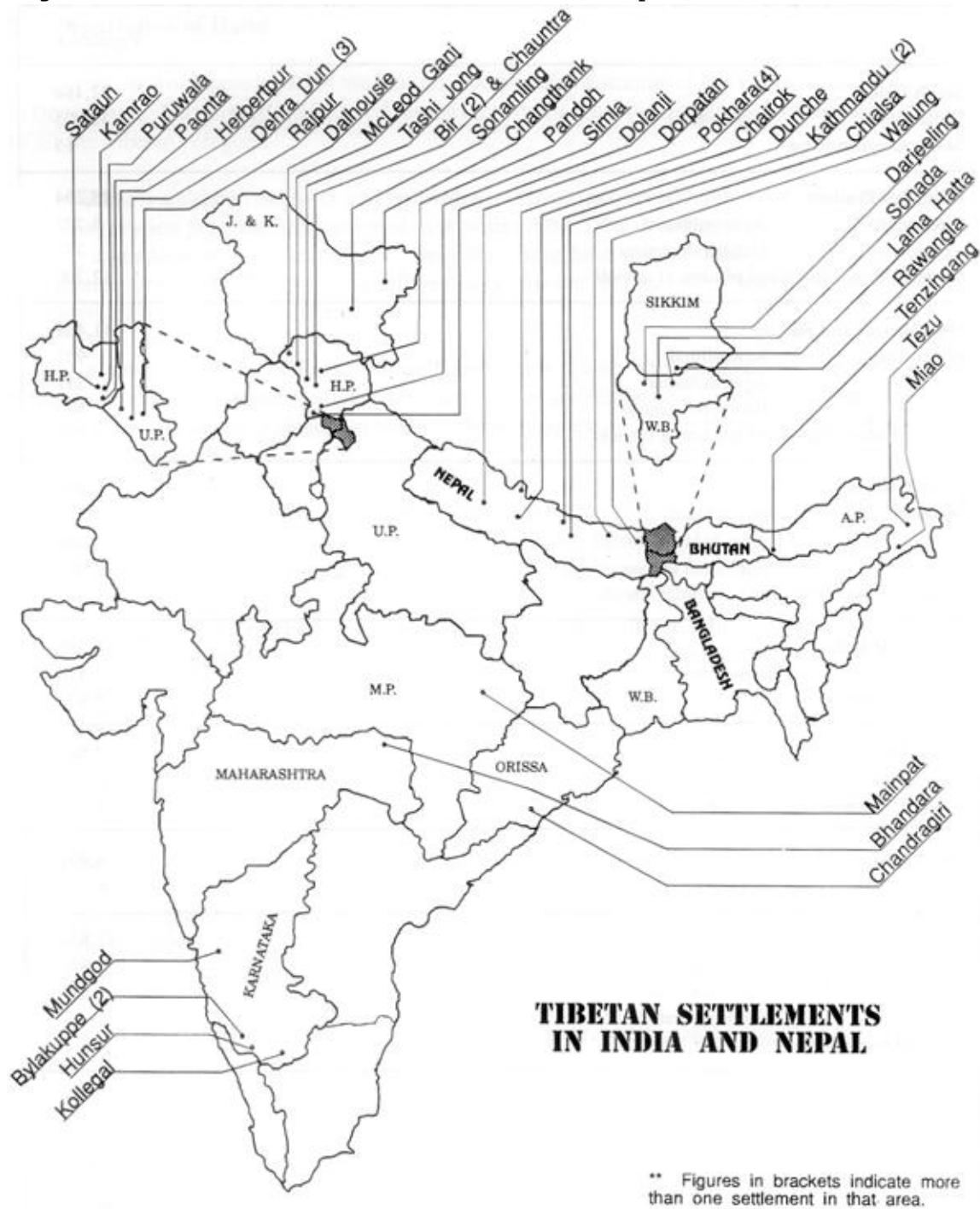
**-End of Schedule-**

**ATTACHMENT B****PROGRAM DESCRIPTION****Title: Economic Development of Tibetan Settlements****I. Objective**

USAID/India's Economic Development of Tibetan Settlements (EDOTS) program supports the development of organic agriculture, for the Tibetan exile settlements in India, Nepal, and Bhutan; and supports a program to build a workforce among Tibetan youth remaining in the settlements. The development hypothesis is that economic opportunities will encourage youth to remain in the settlements. Economic vibrancy in the Tibetan communities will keep the communities together and allow Tibetan identity, and cultural and linguistic traditions to be passed through the generations.

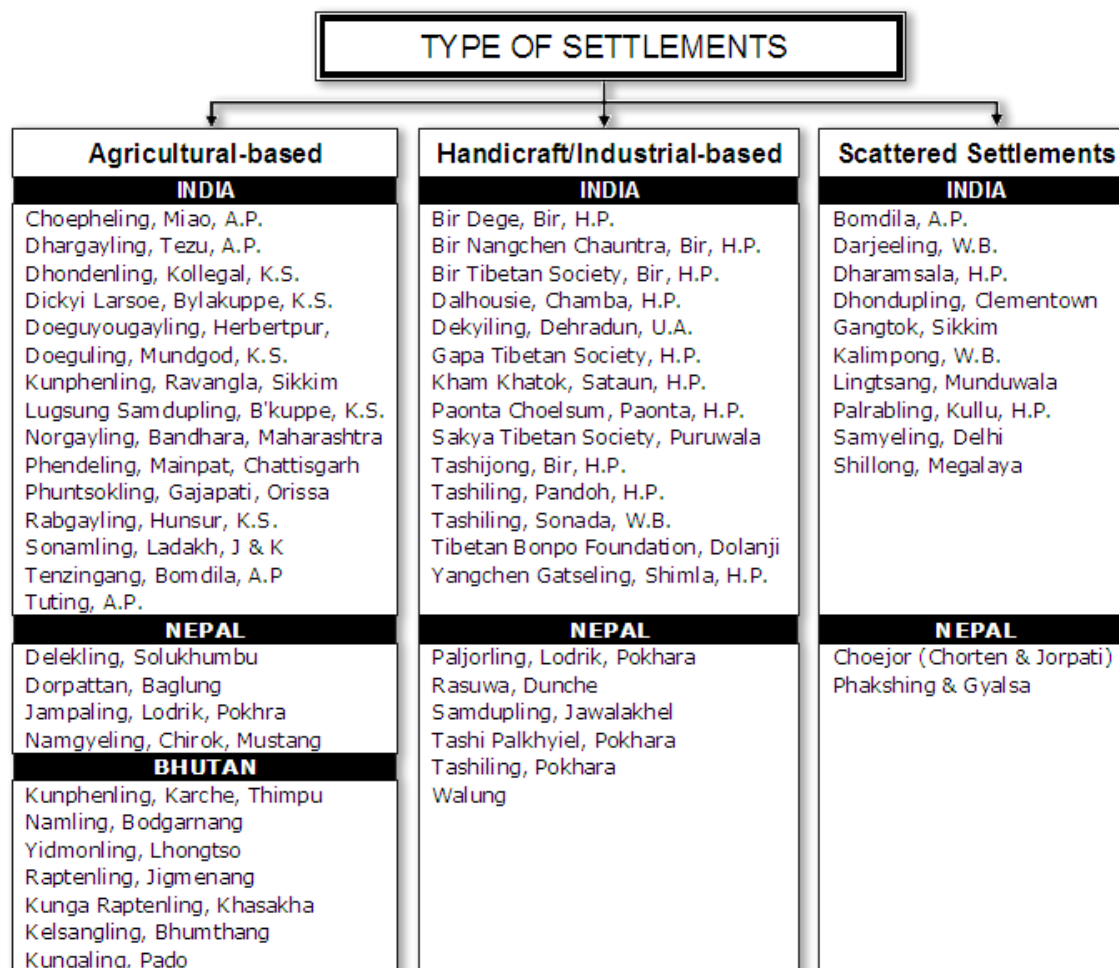
**II. Background**

There are approximately 125,000 Tibetan exiles living in India, Nepal, and Bhutan. Nearly 70,000 of these live in 54 settlements and the remaining 55,000 live in scattered communities and cities in South Asia. Recent refugees are settling in Dharamsala rather than the South, Central, and Northeast settlements of India which are mainly agriculture-based settlements. Tibetan settlements differ widely in location and conditions, from a few remote settlements in Ladakh and northern Nepal, where animal husbandry is the main activity, to those located in central and southern India, which are sub-tropical and very different from conditions found in Tibet.

**Figure 1:** Tibetan Settlements in India, Nepal, and Bhutan<sup>2</sup>

There are two main types of Tibetan exile settlements: agricultural-based settlements and handicraft/industrial based settlements. Other "scattered" settlements exist which include a mixture of livelihoods. Figure 2 below provides details on the types of settlements that exist in the three countries.

<sup>2</sup> Source: Central Tibetan Relief Committee website, <http://www.tibetgov.net/set-map.htm>

**Figure 2:** Types of Settlements in India, Nepal, and Bhutan<sup>3</sup>

Of Tibetan refugees living in exile settlements, 65 percent live in agriculture settlements and 15 percent live in the handicraft/industrial-based settlements. In the agriculture settlements in India, at present more than 90 percent of land is under traditional agriculture and less than approximately 10 percent is under organic agriculture<sup>4</sup>. Sweater selling and traditional agriculture are the two most common livelihood occupations in India<sup>5</sup>. In Bhutan, all settlements are classified as agricultural farming settlements. The majority of Nepal's settlements are either agriculture or handicraft/industrial-based.

Tibetans in exile are facing major challenges. Beginning in the early 1960s, the settlements were established for Tibetan exiles

<sup>3</sup> Source: Central Tibetan Relief Committee website, <http://www.tibetgov.net/settlements.html>

<sup>4</sup> TechnoServe, *The Economic Development Program of Tibetan Refugees in India: Improving the Quality of Life through the Creation and Enhancement of Livelihood Opportunities* (May 2010), 1.

<sup>5</sup> Ibid.

as places to provide a base for livelihoods and to preserve Tibetan culture. In the early days, exiles that lived in the settlements were able to practice agriculture, animal husbandry and small, cottage-scale industries to earn a livelihood. The settlements also sought to preserve and promote Tibetan education, religion, culture, and traditions. However, the exile community encountered difficulties in sustaining themselves through traditional occupations in the settlements and many were forced to seek employment elsewhere that necessitated migration from the settlements. For example, many Tibetan exiles started to make sweaters and other wool products, selling them in markets far from the settlements, which then became places of temporary residence. Many of the settlements have experienced considerable out migration of young, educated people, thus threatening the very survival and original purpose of the settlements. Youths in the Tibetan exile community schools face high dropout rates (over 50 percent in middle and secondary schools), very low levels of graduations (only 8.3 percent of primary school enrollees actually completing education to high school matriculation), and declining enrollment levels.

There is, therefore, a need to revitalize the Tibetan settlements in India, Nepal, and Bhutan to make them economically viable, while at the same time maintaining Tibetan culture and traditions. Programs to ensure the expansion of vocational education and skill training for Tibetan youth are needed in order to produce educated, skilled employees who are flexible, analytical and can serve as driving forces for innovation and economic growth in the Tibetan exile community.

Although there are elected local assemblies in almost all of the Tibetan exile settlements, they are facing problems in efficiently managing the settlements due to lack of basic infrastructure for offices and lack of capacity. Support generously provided by the Government of India has been phased out. A survey conducted by the Central Tibetan Administration (CTA), headquartered in Dharamsala, Himachal Pradesh, India found a number of issues in the settlements:

- Tibetan settlements are not socio-economically viable due to the lack of socio-economic infrastructure and lack of employment opportunities;
- Education no longer seems to fulfill one of its most fundamental roles, i.e. preserving Tibetan language, tradition, culture and heritage;
- Increasing unemployment in the settlements and the need for vocational education and developing a workforce able to find gainful employment; and
- About 35 percent of the Tibetan exile population lives on less than one dollar a day. Among those poor, more than 70 percent are farmers.

**Agricultural Development in Tibetan Settlements**

The majority of the agricultural settlements was established in the 1960s and early 1970s, and is situated in the semi-arid regions of India where rain-fed agriculture is practiced and crop failure is common due to variable rainfall. For example, agriculture is the primarily livelihood in the South, Central, and Northeast settlements in India where more than 60 percent of households are engaged in agriculture for a livelihood<sup>6</sup>. Currently, many of the agricultural settlements practice an input-intensive system, with application of fertilizers, seeds, pesticides and herbicides, as was introduced during the Green Revolution in India. Yet, in many cases, yields are stagnating or declining, and many of the Tibetan exile farmers do not have access to the latest agricultural knowledge, innovations, and results of research to improve their agricultural production. Weak linkages between Tibetan farmers and limited product value chains contribute to unsustainable agricultural practices in many of the settlements.

The globalization of agriculture has the potential to transform agriculture and improve livelihoods in the Tibetan exile settlements. However, agriculture is becoming more technologically challenging and marketing of agricultural commodities more complex. To be competitive, Tibetan farmers in the agricultural settlements will have to: i) produce value-added products that meet food safety regulations; ii) focus on environmentally sustainable agriculture; iii) respond to the increasing demand for higher-quality food products and, iv) ensure a market for their goods. At the same time, innovation is beginning to enter the agriculture sector in India for example, offering opportunities for Tibetan farmers in the settlements. Innovation is driven by the private sector which sees potential in the booming retail market. Many private companies in both Nepal and India are beginning to experiment with different means of sourcing food products from disaggregated farms, including contract farming, extension and financial services, and information-communication technology (ICT)-enabled solutions such as *e-chaupals* (private sector "shops" that are internet connected and providing information on markets to farmers). In order for Tibetan farmers to take advantage of these innovations and opportunities they need to be integrated to markets, input suppliers, knowledge systems, and buyers.

The increasing contribution of diversification to agricultural growth indicates that greater attention should be devoted to this avenue for increasing Tibetan farmers' incomes. Crop diversification offers an opportunity to augment income and employment, especially in rain-fed areas that were somewhat

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<sup>6</sup> Ibid, 17

neglected during the Green Revolution period. Crop diversification towards high-value crops, such as vegetables and spices, including organically certified agricultural products, can also empower women who focus on these crops and better conserve natural resources which sustain agricultural production. Crop diversification requires greater investment in agricultural extension services for high-value crops, market information systems, technology to address the perishable nature of many high-value crops, and facilitation of the institutional arrangements to enhance vertical coordination of these markets. The process of agricultural diversification is largely demand-driven in contrast to the supply-driven process of the Green Revolution. If risks and transaction costs are reduced, and if food safety and quality standards can be met, Tibetan farmers can benefit from market growth opportunities.

#### Organic Agriculture in Indian Tibetan Settlements

In 2004, the Central Tibetan Relief Committee and the Italian NGO, COSPE, initiated a four-year activity in 12 Tibetan settlements in nine Indian states. Organic farming featured in the activity. In 2005, the CTA adopted the Dhondenling settlement in Karnataka as a model organic site and started several projects with assistance from other donors such as Norway, Australia and Sweden. Today their brand, "Tibetan Organic", is promoted by the Federation of Tibetan Co-operatives in India (FTCI). Tibetan Organic products are grown in nine major Tibetan settlements in India. Five of them are in Karnataka state, one in Arunachal Pradesh state, one in Maharashtra state, one in Orissa state and one in Chhattisgarh state. They have over 3,500 acres dedicated to organic farming in a population of over 61,000. Studies have sited challenges associated with development and marketing the Tibetan Organic brand<sup>7</sup>.

In FY 2009, the U.S. Department of State's Bureau of Population, Refugees and Migration (PRM)F provided funding for the development of organic agriculture in six Indian Tibetan exile settlements: Doeguling, (Mundgod, Karnataka); Dhargayling, (Tezu, Arunachal Pradesh); Phendeling, (Mainpat, Chhattisgarh); Phuntsokling, (Chandragiri, Orissa); Lugsum, (Bylakuppe, Karnataka); and Rabgayling, (Hunsur, Karnataka). This active activity could provide valuable lessons-learned for further development of organic agriculture in Tibetan settlements in India.

ACNielsen, a leading market research firm, surveyed approximately 21,000 regular Internet users in 38 countries to find their preference for functional foods - foods that have additional health benefits. The survey revealed that India was among the top

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<sup>7</sup> TechnoServe, *The Economic Development Program of Tibetan Refugees in India: Improving the Quality of Life through the Creation of Livelihood Opportunities* (May 2010), 36.

ten countries where health food, including organic food, was demanded by the consumers. One study suggests unmet demand for processed organic maize, paddy and mangoes<sup>8</sup>. There also appears to be high demand for mushroom cultivation especially in Himachal Pradesh<sup>9</sup>.

#### Organic Agriculture in Nepal

While organic agriculture was initiated in 1986 it is still in an early stage in Nepal<sup>10</sup>. Nepal currently exports organic tea, coffee, and spices. In 2003, organic agriculture was included as a priority area in Nepal's Tenth Five-Year Plan. A number of organizations support organic agriculture in Nepal such as Lotus Land Agricultural Farm, the Ecological Services Center, and Organicon Nepal. Constraints concerning organic farming include issues ranging from a weak enabling environment to lack of information for farmers and consumers on the benefits associated with organic farming<sup>11</sup>.

#### Organic Agriculture in Bhutan

The Ministry of Agriculture in Bhutan has a National Framework for Organic Farming which outlines key approaches and strategies to promote organic farming in the country<sup>12</sup>. The Government aims to become fully organic by 2020. Its strategy includes both subsistence farmers whose main aim is sustainable farming and food security and semi-commercial farmers who aspire for higher incomes and better living standards.

A number of constraints confront Bhutan as it implements its national framework. For example, impediments include: coordination of the framework, lack of awareness and understanding among a number of actors, labor shortages as organic farming is labor and knowledge intensive, quality control, and an absence of standards<sup>13</sup>.

#### **Workforce Development for Tibetan Exile Communities**

Unemployment is an increasing problem in the Tibetan community in exile and will continue to worsen if steps are not taken to properly train Tibetans for employment, or to develop microenterprises.

With changing social norms and aspirations of Tibetan youth, the traditional system of inheritance of trade skills from father to son which ensured employment is no longer practiced. Now, the

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<sup>8</sup> Ibid, 36

<sup>9</sup> Ibid, 131

<sup>10</sup> Bhat, Basanta. *A National Profile on Organic Agriculture of Nepal*. [http://www.intracen.org/organics/documents/Nepal\\_PPT.pdf](http://www.intracen.org/organics/documents/Nepal_PPT.pdf)

<sup>11</sup> Ibid.

<sup>12</sup> Duba, Sangay. *Promoting Organic Farming in Bhutan: A Review of Policy, Implementation, and Constraints* (August, 2008).

<sup>13</sup> Ibid.

majority of youth need to find employment by themselves in a new trade and in an increasingly competitive environment. Only limited numbers of Tibetan youth are able to acquire employment in the Indian job market, which is very competitive. The majority of Tibetan youth seek employment within the Tibetan refugee community, where the limited employment opportunities are at odds with the current demographic structure and, therefore, there is growing number of unemployed or under-employed youths.

In 2005-2006, there were 1,852 Tibetan refugee students going to college, of which 317 were final-year students. The CTA is limited to hiring approximately 45 new employees per year. As a result, many college educated Tibetan youth are unable to find gainful employment. The CTA's 2005 Unemployment Survey Report found that the overall unemployment rate as a proportion of the working population was 7.7 percent. However, much higher unemployment rates were found in a number of the individual refugee settlements. For example, in Tashiling in Pokhara, Nepal, the unemployment rate was 14.9 percent and 30.3 percent in Dhonden Ling in Kollegal, Karnataka State of India, and 15.6 percent in Phuntsoling in Orissa State of India. The vast majority of the unemployed youth (69 percent) were financially dependent on their parents.

Unemployment in an exile situation is especially precarious as there are no social security or unemployment benefits available to unemployed Tibetans in India or Nepal. Adequate vocational education and a higher education policy have not yet been formulated by the CTA and impede job creation and employment opportunities for Tibetan youth. Platforms in India such as the Youth Empowerment Support Program (YES), the Institute for Small Trade Learning (ISTL), cooperatives, and vocational training centers exist but could benefit from improved curriculum emphasizing business and technical skills for employability<sup>14</sup>. Similarly, the Norbulingka Social Welfare Organization at Jawalakhel provides training programs for young Tibetans in Nepal<sup>15</sup>.

### **III. Results under the EDOTS Objectives**

The overall objective of USAID/India's Tibetan program is the economic revitalization of the exile Tibetan settlements. The proposed EDOTS program will focus on select settlements where models or best practices for economic revitalization as they relate to organic agriculture and workforce development can be developed and scaled-up to other settlements. Half of the funding for EDOTS comes from a microenterprise earmark while the other half is agriculture funds. EDOTS will support innovative

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<sup>14</sup> Ibid, 5.

<sup>15</sup> Tibet Justice Center. *Tibet's Stateless Nationals: Tibetan Refugees in Nepal* (2002), 72.

approaches, including support for existing microenterprises to improve productivity and market potential.

There are two overarching components of the EDOTS:

1. Improve organic agricultural productivity, output and incomes of select Tibetan refugee settlements; and
2. Support market-driven workforce development for Tibetan youths remaining in the Tibetan exile community so that Tibetans can obtain employment or start their own businesses in those communities.

Beyond these two components, EDOTS will emphasize knowledge and information dissemination. Dissemination efforts will require that all activities have systems to ensure that best practices and lessons learned are disseminated and used by Tibetan beneficiaries. All activities should also identify and integrate gender issues as they affect women and men.

Expected Outcomes:

Each activity proposed by the Recipient will establish its own set of outcome indicators and benchmarks. Illustrative outcome indicators include:

- Increased farmer incomes.
- Increased income for women farmers.
- Improved access to markets for Tibetan farmers.
- Increased employability of trained Tibetans in settlement communities.

Illustrative output indicators include:

- Number of people gaining employment or better employment as a result of participation in USG-funded workforce development programs.
- Number of persons completing USG-funded workforce development programs.
- Number of farmers who have applied new technologies or management practices as a result of USG assistance.
- Number of individuals who have received USG-supported short-term agricultural sector productivity or food security training.
- Number of microenterprises participating in USG-assisted value chains.

Activities should ensure that lessons learned are shared as widely as possible among the Tibetan exile community in India, Nepal, and Bhutan. For example, lessons learned from pilot agricultural activities in regions that share similar altitude, average temperature, and rainfall should be shared. A simple analysis of the Tibetan communities in the three countries revealed that the Kalsangling Tibetan settlement in Bhutan, the

Delekling, Chialsa, Solukhumbu Settlement in Nepal and the Darjeeling settlement in India all share similar levels of altitude<sup>16</sup>. Lessons learned from a pilot in one of these settlements could be applied to the others.

EDOTS, to the extent possible, should also build on lessons-learned from previous agriculture, microenterprise, and workforce development activities that could be applied to working with Tibetan refugee communities, including the recent PRM-funded pilot programs. Since October 2008, USAID/India has been supporting four agriculture related activities under its Partnerships for Innovation and Knowledge in Agriculture (PIKA) program with projects led by the University of Wisconsin, Michigan State University, World Vision, and the International Food Policy Research Institute (IFPRI). USAID also supports the Cereal Systems Initiative for South Asia (CSISA) that aims to reverse the declines in cereal yields and increase food and income security in both India and Nepal through accelerated development and deployment of new cereal varieties and more sustainable cropping systems management. USAID/Nepal provides agricultural training to people from disadvantaged groups. Agricultural productivity training included micro-irrigation, nursery operation, essential oil processing, goat raising, and vegetable production.

With respect to workforce development, USAID/India programs have provided quality education to marginalized youth, including minorities and the disabled; promoted the use of technology to improve the teaching learning process in the classroom; and supported interventions that link education to employment. USAID's approach in workforce development and education in India has been to initiate pilot projects, demonstrate success, and partner with the government and the private sector for scale up. USAID/India's Youth Skill Development Initiative (*Ek Mouka*) provided training in basic life and employability skills to deprived out-of-school youth, effectively linking their education to the skills demanded in India's growing market economy. The program provided training to these youth in market-oriented skills such as computer usage, spoken English, communication and customer relations to make them more "employable." Effective partnerships have been established with the Government of India and the private sector for implementation, technical cooperation, and scale-up. Last year, USAID/Nepal's work in vocational training prepared 3,421 people in trades such as carpentry, masonry, wiring, tailoring and food preparation. These experiences could be valuable in developing programs to improve skills and employability of Tibetan youth.

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<sup>16</sup> Source: Central Tibetan Relief Committee website, <http://www.tibetgov.net/settlements.html>

The U.S. Department of State's PRM Bureau also supports activities for Tibetan refugees in India, Nepal, and Bhutan. For example, PRM supported the CTA's organic farming initiative in several settlements in the three countries through a grant which included activities such as: an organic training and awareness campaign for 20,000 farmers; training in organic farming methods such as composting, bio-pest management, soil testing and treatment, agro-forestry and horticulture development, livestock acquisition, and exposure trips to organic demo farms; a seven-day marketing training for 32 members of 15 cooperatives at the Institute of Rural Management; market research and development of markets in major Indian cities; and produce certification and processing and value addition procedures<sup>17</sup>. Applicants should, as much as possible, look for synergies with those PRM-funded programs in developing proposals and activities in response to this RFA.

Programs should be implemented in coordination with the CTA, and the Tibetan community including the Tibetan settlement officers. Evidence of community level participation in the development of the applications and setting of activity priorities is encouraged.

#### **IV. Guiding Principles**

In their applications, Applicants will be asked to consider the following "guiding principles" in designing a program of interventions for working with Tibetan exile communities:

- Maximize program impact by targeting the largest number of beneficiaries as programmatically feasible;
- Coordinate activities with officials of the CTA, headquartered in Dharamsala, Himachal Pradesh, India and Tibetan settlement officers in the settlements;
- Build trust through frequent and open two-way communication and garner support at all levels in the Tibetan exile communities;
- Implement a multi-disciplinary approach to address agricultural development challenges in the agricultural settlements, taking full advantage of Indian and Nepali agricultural research institutions, universities and the private sectors;
- Use innovative education and learning systems to broaden exile Tibetan student and youth experience to include skills in communication, teamwork, and business management, and to create opportunities for Tibetan students and youth to participate in private sector internships;

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<sup>17</sup> For more information see: [http://www.tibetfund.org/annual\\_reports/2009report.pdf](http://www.tibetfund.org/annual_reports/2009report.pdf).

- Seek opportunities to form meaningful and lasting partnerships with the private sector wherever possible to better ensure sustainability;
- Involve other stakeholders as early as possible;
- Design project interventions and activities to address gender issues and encourage the maximum number of women participants as possible;
- Strengthen microenterprises, defined by USAID as “a very small enterprise owned and operated by poor people, usually in the informal sector” (for USAID program purposes, the term is restricted to enterprises with 10 or fewer workers, including the micro-entrepreneur and any unpaid family workers, and can include crop production activities); and,
- Link with current and planned USAID activities in the agriculture, food security, and education/workforce development sector.
- Geographic Focus: Implementation will occur in select Tibetan communities in India, Nepal, and Bhutan- consideration of both the levels of unemployment among the Tibetans as well as the potential for replication in other settlements.
- Coordination with the Central Tibetan Administration and/or settlement officials and how the program will work towards the goal of ensuring replication elsewhere in the Tibetan communities.

## V. Monitoring and Evaluation

During the period of performance, the AOTR will conduct periodic performance reviews to monitor implementation and achievement of results. Other mechanisms to be used to monitor the progress will include:

- Regular meetings with USAID;
- Quarterly reports;
- Use and monitoring of the award monitoring plan;
- Data quality assessments; and,
- Site visits; and,
- Periodic evaluations. Funds have been set aside in a separate mechanism for this purpose.

Through EDOTS, USAID expects to implement a program that will have measurable results, share knowledge widely, and build long-term capacity. The assistance should improve economic opportunities for Tibetan exile communities in India, Nepal, and Bhutan. Figure 3 outlines the EDOTS overall objective and the assumptions on how the EDOTS can achieve these objectives.

**Figure 3:** Logical Framework for Economic Development of Tibetan Settlements

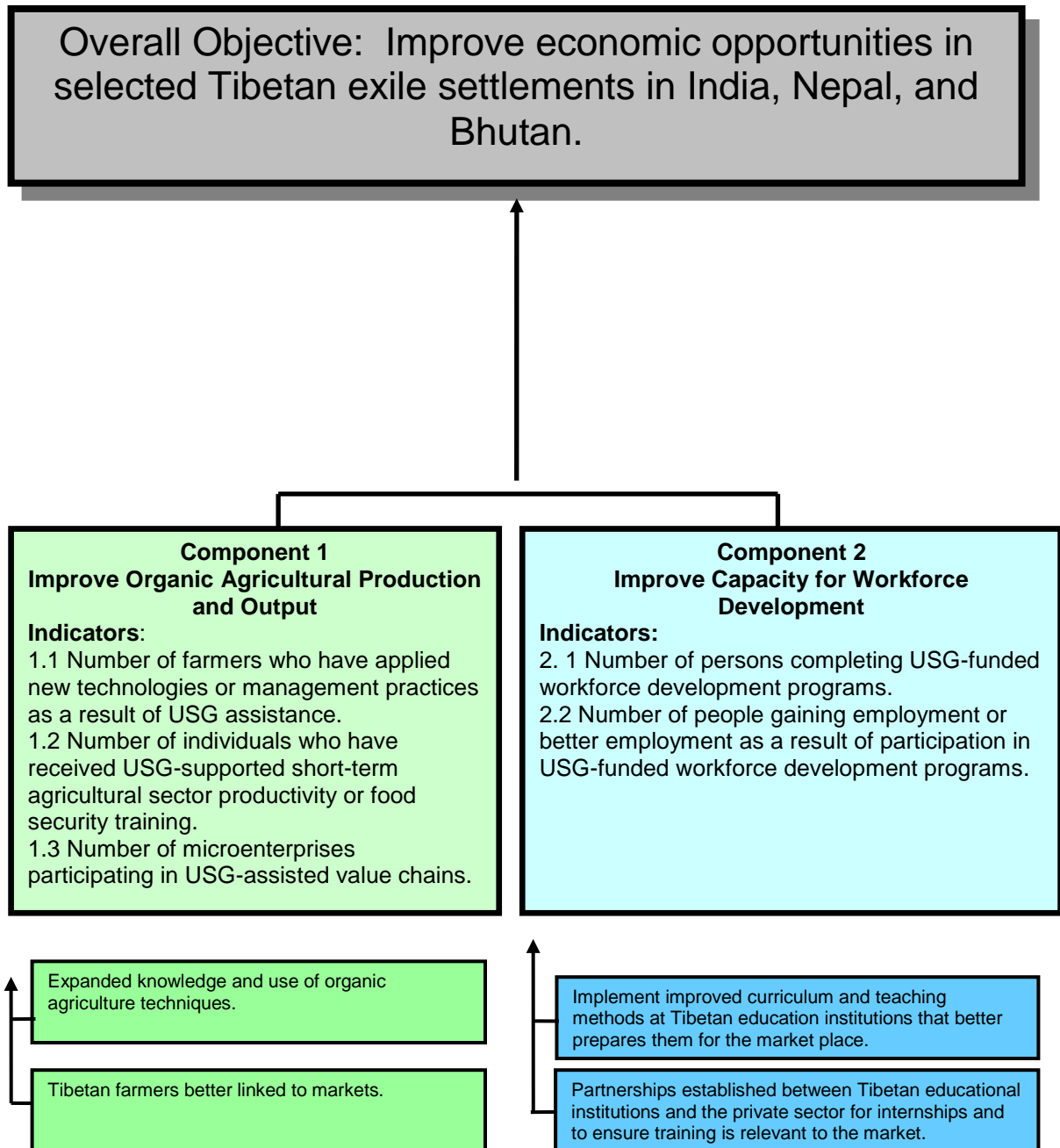


Table 1. **EDOTS Objectives, Impact Goals, Outcomes and Indicators**

Objectives	<ul style="list-style-type: none"><li>• Increase Tibetan farmers' incomes.</li><li>• Increase the number of Tibetan youths placed in jobs or starting businesses in their own communities.</li></ul>			
Impact and Outcomes	<ul style="list-style-type: none"><li>• Increased farmer incomes.</li><li>• Increased income for women farmers.</li><li>• Improved access to markets for Tibetan farmers.</li><li>• Increased employability of trained Tibetans in settlement communities.</li></ul>			
Funds Available	<ul style="list-style-type: none"><li>• \$1 Million available in Component 1 for India, Nepal and Bhutan under Agriculture Sector Productivity (Program Element A074).</li><li>• \$1 Million available in Component 2 for India, Nepal and Bhutan under Strengthening Microenterprise Productivity (Program Element A082).</li></ul>			
Standard Indicators		INDIA		
		FY 11	FY 12	FY 13
<b>Component 1: Improve Organic Agricultural Production and Output</b>  1. Number of farmers and others who have applied new technologies or management practices as a result of USG assistance	Men			
	Women			
2. Number of individuals who have received USG supported short-term agricultural sector productivity or food security training	Men			
	Women			
3. Number of micro enterprises participating in USG assisted value chains				
<b>Component 2: Improve Capacity for Workforce Development</b>  1. Number of people gaining employment or better employment as a result of participation in USG-funded workforce development programs.	Men			
	Women			
2. Number of persons completing USG-funded workforce development programs	Men			
	Women			

Standard Indicators		NEPAL		
		FY 11	FY 12	FY 13
<b>Component 1: Improve Organic Agricultural Production and Output</b>  1. Number of farmers and others who have applied new technologies or management practices as a result of USG assistance	Men			
	Women			
2. Number of individuals who have received USG supported short-term agricultural sector productivity or food security training	Men			
	Women			
3. Number of micro enterprises participating in USG assisted value chains				
<b>Component 2: Improve Capacity for Workforce Development</b>  1. Number of people gaining employment or better employment as a result of participation in USG-funded workforce development programs.	Men			
	Women			
2. Number of persons completing USG-funded workforce development programs	Men			
	Women			

Standard Indicators		BHUTAN		
		FY 11	FY 12	FY 13
<b>Component 1: Improve Organic Agricultural Production and Output</b>				
1. Number of farmers and others who have applied new technologies or management practices as a result of USG assistance	Men			
	Women			
2. Number of individuals who have received USG supported short-term agricultural sector productivity or food security training	Men			
	Women			
3. Number of micro enterprises participating in USG assisted value chains				
<b>Component 2: Improve Capacity for Workforce Development</b>				
1. Number of people gaining employment or better employment as a result of participation in USG-funded workforce development programs.	Men			
	Women			
2. Number of persons completing USG-funded workforce development programs	Men			
	Women			

## VI. Gender

Despite impressive economic growth, systemic gender inequalities in South Asia continue to undermine its potential for inclusive development. For example, India ranks 112 and Nepal ranks 115 out of 132 countries in the World Economic Forum's (WEF) 2010 Gender Gap Index<sup>18</sup>, which measures economic participation and opportunity, educational attainment, health and survival, and political empowerment.

Tibetan exiles who have settled in India, Nepal, and Bhutan can confront challenging gender norms. However, the recent release of the *Demographic Survey of Tibetans in Exile* provided reason for hope<sup>19</sup>. Effective literacy rates among men and women have increased since

<sup>18</sup> [http://www3.weforum.org/docs/WEF\\_GenderGap\\_Report\\_2010.pdf](http://www3.weforum.org/docs/WEF_GenderGap_Report_2010.pdf) Bhutan was not ranked.

<sup>19</sup> Demographic Survey of Tibetans in Exile, December 2010.  
<http://phayul.com/news/article.aspx?id=24426&article=CTA+to+conduct+second+demographic+survey+of+Tibetans+in+exile>

1998. The infant mortality rate of the Tibetan population in exile was recorded as 15 per 1,000 child-births and it has gone down to 60.3 percent. Household economic improvement and better health coverage of the population with essential child health services such as mother and child care programs have ensured continued declines in level of infant mortality. The survey also showed that the total fertility rate which in the 1980s was estimated to be as high as 4.9, has gone down to 1.18. The survey said two major factors - growth in literacy rate among the young child bearing Tibetan women and rise in contraceptive prevalence - might have caused the fertility transition in Tibetan population. While more educated women take longer time in building their careers that delay their age at marriage resulting in fewer children or forgoing having them altogether, the contraceptive prevalence has risen substantially from only 10 percent among the married women in 1980's to 95 percent in 2001, the survey found.

**STANDARD PROVISIONS****STANDARD PROVISIONS FOR U.S., NONGOVERNMENTAL ORGANIZATIONS****C.1 APPLICABILITY OF 22 CFR PART 226 (May 2005) (for US organizations)**

(a) All provisions of 22 CFR Part 226 and all Standard Provisions attached to this agreement are applicable to the Recipient and to subRecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a sub-Recipient from coverage. The Recipient shall assure that sub-Recipients have copies of all the attached standard provisions.

(b) For any subawards made with Non-US sub-Recipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with sub-Recipient monitoring procedures in accordance with OMB Circular A-133.

**APPLICABLE POLICY AND REGULATIONS:**

**Standard Provisions will be provided in full text, as applicable, in the resultant agreement.**

- (See [Standard Provisions for U.S., Nongovernmental Recipients listed under Mandatory References in ADS 303.](#))
- Mandatory Standard Provisions for U.S., Nongovernmental Recipients  
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non U.S. Nongovernmental Recipients  
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226 USAID Assistance Regulations  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_02/22cfr226\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html)
- 22 CFR 228 USAID Source, Origin, Nationality Regulations  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_01/22cfr228\\_01.html](http://www.access.gpo.gov/nara/cfr/waisidx_01/22cfr228_01.html)
- ADS Series 303 Acquisition and Assistance  
<http://www.usaid.gov/policy/ads/300/303.pdf>

## ATTACHMENT D

## APPLICATION PROCEDURES

**D.1. General Information:**

USAID/India is responsible for management of the award process. This is a two-stage process. First, interested applicants are required to submit short concept papers per the instructions below and in the cover letter. These will be reviewed using the criteria set forth below as guidelines. Those most highly rated will be invited to participate in the second stage - submission of a full application per the instructions below.

**D.2 Concept Paper Instructions**

All concept paper applications must contain the items below and **must** not exceed 5 pages in total.

The concept paper shall include:

**Cover Page/Introduction:**

1. Name and address of organization;
2. Type of organization (e.g., for-profit, non-profit, university, etc.) - local (Indian) organizations must be FCRA approved and eligible to receive USAID funds immediately;
3. Contact point (lead contact name; relevant telephone, and e-mail information); and
4. Signature of authorized representative of the applicant.

**Technical Information: (refer to the evaluation criteria for full application in Attachment E below. All the evaluation factors should be considered, within the page limit for the concept papers):**

1. Concise title and objective of proposed activity; and
2. Discussion of the objectives, the method of approach, the amount of effort to be employed, the anticipated results, and how the approach proposed will help accomplish the program's objectives within the two year timeframe.

**Supporting Information:**

1. Proposed estimated cost;
2. Brief cost breakdown (e.g., salaries, travel, etc.);
3. Proposed amount of the applicant's financial as well as in-kind participation (clearly identify which resources are cash and which are in-kind and provide information on the nature of the in-kind contributions);

4. Proposed amount of prospective leveraging;
5. Proposed duration of the activity; and
6. Brief description of applicant's, as well as prospective or existing partners (or partners'), previous work and experience.

All concept papers must be in English and submitted electronically via email to [indiarco@usaid.gov](mailto:indiarco@usaid.gov) with a copy to Sumit Dutta, A&A Specialist at [sdutta@usaid.gov](mailto:sdutta@usaid.gov).

**D.3. Full Application Instructions (APPLICANTS SHOULD NOT PREPARE FULL APPLICATIONS UNLESS SPECIFICALLY REQUESTED TO DO SO BY THE USAID/INDIA AGREEMENT OFFICER)**

This attachment provides the instructions and submission procedures for the applications. Please read the entire RFA and respond accordingly. USAID reserves the right not to make any award under this solicitation. USAID shall not pay for costs related to preparation of this application.

**Length and format**

Technical applications must be strictly limited to no more than 12 pages in length, (Times New Roman point 12 font size, with one inch margins), excluding annexes which are limited to the following:

Annexes:

A. Relevant organizational experiences (Prime Recipient and partner organizations)

B. Resumes of Key Personnel with three references (full contact information to be provided: name, position, relationship, e-mail address, telephone number)

C. Resumes of proposed long and short-term personnel

\*Information included in Annex that is other than A, B & C will not be considered for evaluation.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

- a. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- b. Acknowledgement of Amendments to the RFA must be submitted together with the application.

- c. Applicants are expected to review, understand, and comply with all aspects of this RFA including attachments. Failure to do so will be at the applicant's risk.
- d. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type the name and title clearly on the cover page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority.
- e. Applicants must ensure that all the certifications are completed and signed. In the submissions, the applicants must include as necessary any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility in accordance with ADS E303.3.9 at the following website:  
<http://www.usaid.gov/policy/ads/300/303.pdf>
- f. Applicants who include data they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:
1. Mark the title page with the following legend:  
"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a Cooperative Agreement is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting Cooperative Agreement. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets; and
  2. Mark each sheet of data it wishes to restrict with the following legend:  
"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by the date specified on the cover letter of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is

necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

Applications shall be submitted in two separate volumes: (a) technical and (b) cost or business application. Technical applications must be submitted in an original and three (3) copies and cost applications in an original and two (2) copies and electronically to [indiarco@usaid.gov](mailto:indiarco@usaid.gov). The cost application must be prepared using Microsoft Excel with workable calculations shown in the spreadsheet and an electronic version of the narrative discussing the costs for each budget line item in Microsoft Word via email and on a CD-ROM must be submitted to the following:

**Courier Address:**

USAID/India  
Regional Acquisition and Assistance Office  
American Embassy, Shantipath  
Chanakyapuri, New Delhi 11021  
India  
Tel: +91-11-24198796

**e-mail address:**

[indiarco@usaid.gov](mailto:indiarco@usaid.gov)

Late applications will not be accepted. Acceptance is upon receipt of the hard copy **NOT** the electronic copy.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

**Faxed applications will not be considered.**

**D.4 Instructions for Preparation of Technical Application**

The technical application should address how the applicant intends to carry out the program described in Attachment B above. It should also contain a clear understanding of the work to be undertaken and the responsibilities of all parties involved. The technical application should be organized by the Technical Evaluation Criteria listed below.

USAID expects applicants to utilize their expertise and experience in designing a technical approach which will best achieve the objectives described in the program description. To be considered competitive, Applicants are requested to submit an application that reflects a clear approach to achievements of USAID's objectives as outlined in the program description and outline how they would approach the components described therein. A clear connection between the Applicant's proposed approach and proposed level of effort and staffing plan must be demonstrated.

The suggested outline for the technical application is:

**EXECUTIVE SUMMARY followed by:**

**1. TECHNICAL APPROACH**

Describe in detail the technical approach to be used to achieve annual and end of assistance targets for the Program Element Result Area.

Applicants shall propose baselines and annual targets for the life of the project, disaggregated by gender where appropriate and complete Table I in Attachment B above.

The technical application should address how the applicant intends to carry out the program described in Attachment B above. It should also contain a clear understanding of the work to be undertaken and the responsibilities of all parties involved. The technical application should be organized by the Technical Evaluation Criteria listed below.

USAID expects Applicants to utilize their expertise and experience in designing a technical approach which will best achieve the objectives described in the program description. To be considered competitive, Applicants are requested to submit an application that reflects a clear approach to achievements of USAID's objectives as outlined in the program description and outline how they would approach the components described therein. A clear connection between the Applicant's proposed approach and proposed level of effort and staffing plan must be demonstrated.

Gender considerations and cost sharing must be addressed.

**Public-Private Partnerships: See Attachment A.12**

USAID/India seeks to leverage additional resources from the private sector under this Agreement through the establishment of public-private partnerships (PPPs). Applicants shall include in their applications a comprehensive approach to private sector engagement that includes the following:

- Understanding of the need for PPPs opportunities under this Agreement and how potential partnerships will contribute to Agreement objectives/results and to the business interests of potential partners;
- Approach for private sector partner engagement, with a focus on innovative approaches and sustainable development outcomes and a detailed explanation of how partnerships, including leveraged funds, will be solicited, established, and managed;
- Measurable indicators and targets that will determine success;

- Experience building and managing PPPs, and achievement of concrete results from previous partnerships.

Applicants are encouraged to define innovative, practical approaches to using these resources to promote project objectives. A target ratio for leverage of 1(USAID):1(private sector partner) has been established for the resultant Agreement. Leveraged resources obtained through partnerships may free up funding for other purposes within the program description or allow for expanded project implementation.

Any partnership commitments undertaken by the implementer(s) during the course of Agreement implementation will be subject to USAID review and approval. Any post-award changes to the cost or project budget will also be subject to USAID approval.

## **2. KEY PERSONNEL**

Applicants shall propose appropriate key personnel considered essential for implementation of this Agreement. Minimum qualifications must be provided for all key personnel positions. Careful consideration should be given to the Agreement requirements, results to be achieved and unique aspects working with government institutions. Resumes shall be included with 3 references and their contact information (name, title, organization, phone number, e-mail address). Applicants are encouraged to propose Indian nationals at all staffing positions.

## **3. MANAGEMENT PLAN**

As part of its application, the applicant must submit a detailed Management Approach for USAID's review. Management Approaches must, as a minimum, address the following:

- Placement of the program team within the larger organization(s).
- A clear chain of authority on the project/program team, including subawardee staff.
- A clear line of communication and reporting which allows for early identification and proposed resolution of problems by the prime awardee and provision of related information to USAID.
- A clear, regular, and concrete means of communication between program staff in the field and their backstop officers in the headquarters office that functions without creating unnecessary overlap.
- Identification of key personnel, including their technical and managerial roles and responsibilities.
- A regular means of informal communication with the CTO, in addition to the required programmatic and financial reporting.

Program organizational charts with linkages to the key staff's parent organization are recommended.

Applicants are encouraged to describe specific instances in which the proposed management approach has had demonstrated success.

#### **4. AWARD MONITORING PLAN**

As part of its application, the applicant must submit an illustrative detailed (Award Monitoring Plan (AMP) for USAID's review.

The AMP must, as a minimum, address the following:

- Description of the Recipient's established system within which the particular AMP operates. The system refers to:
  - Organization-wide policies and procedures for monitoring and their relation to the immediate AMP.
  - Organizational staffing/expertise, roles, and responsibilities and how the staffing and expertise is to be used in the particular AMP, including the roles of subcontractors and subgrantees.
  - Automated and other methods used to gather, store, manipulate, summarize, analyze, and/or report performance data.
  - Procedures for regular communication with USAID regarding the status of monitoring activities, including a means for early notification of problems.
  - Means of addressing a discovered lack of progress or success. Procedures should focus on learning from mistakes, analyzing them, and ascertaining the reason for missteps.
- Information about all activities to be monitored under the AMP. The list of activities should be provided in a logical framework which:
  - Links activities to Agreement results—both those dictated by USAID in the solicitation and lower level or complementary results contained in the applicant's approach.
  - Describes assumptions being made about the relationship of the activity to the Agreement result.
  - Identifies the indicators against which progress is to be measured.
  - Describes the methods to be used for monitoring. Methods for monitoring vary according to what it is being monitored. Some activities can be observed easily and costs and outputs can be measured against the original targets and timetable. Other activities are less easy to monitor in terms of quantitative achievements, especially such intangible effects as awareness and empowerment and

their direct link to program interventions. Indirect or proxy indicators may have to be identified, even if these cannot be verified. By considering these factors at the planning stage, expected results can be kept realistic and cost-effective and the Recipient can recognize that not all available and useful indicators are 'objectively verifiable.'

- Provides an illustrative schedule for discrete monitoring activities tied to the overall program work plan.
- Gender:  
In order to ensure that USAID assistance makes the maximum optimal contribution to gender equality, performance management systems and evaluations must include gender-sensitive indicators and sex-disaggregated data when the technical analyses supporting the Agreement demonstrates that:
  - a. The different roles and status of women and men affect the activities to be undertaken; and
  - b. The anticipated results of the work would affect women and men differently.

## **5. PAST EXPERIENCE, PAST PERFORMANCE AND ACHIEVEMENTS**

Applicants must highlight credentials, area of expertise and past experiences for implementing similar programs. Applicants must also indicate experience of addressing gender considerations.

a) The Applicants (including all partners of a joint venture) must provide performance information for itself and each subawardee whose total estimated cost exceeds 10% of the total proposed offer in accordance with the following:

1. List in an annex to the technical application 5 of the most recent and relevant agreements for efforts similar to the work in the subject application. The most relevant indicators of performance are agreements of similar size, type of work, scope of work and complexity/diversity of tasks.

2. Provide for each of these agreements a list of contact names, job titles, mailing address, phone numbers, e-mail address, and a description of performance to include:

- Scope of Work or complexity/diversity of tasks,
- Primary location(s) of work,
- Term of performance,
- Skills/expertise required,
- Dollar value, and
- Resources leveraged

(USAID recommends that Applicants alert the contacts that their names have been submitted and that they are authorized to provide performance information concerning the listed contracts if and when USAID requests it.)

#### **D.5 COST APPLICATION FORMAT**

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for an Assistance award must submit to USAID prior to award. While there is no page limit, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

**D.5.1** Include a budget for each funding scenario with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard Forms 424 and 424A (See Section E-Annex A, B & C of the RFA) may also be downloaded from the USAID web site,  
[http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/sf424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/);

- a. The applicants must provide an electronic copy of the budget (in Microsoft Excel) with calculations shown in the spreadsheet and an electronic version of the narrative discussing the costs for each budget line item (in Microsoft Word)
- b. The breakdown of all costs associated with the activities by line item. (See Sample in Section E - Annex C, take note: **the detailed budget must be rolled into the development focused budget line items in Section A.4).**
- c. The breakdown must include costs associated with each activity according to costs of, if applicable, headquarters, and/or regional offices; each partner organization involved in the program; expatriate technical assistance and those associated with local in-country technical assistance; and
- d. The procurement plan\* for equipment to be purchased under the Cooperative Agreement.

##### **\*Procurement Plan**

Application should include a detailed procurement plan containing explicit information on how procurements will be accomplished. Carefully read the guidance regarding Source Origin, Nationality Regulations in 22 CFR 228 at the following website: 22 CFR 228

USAID Source, Origin, Nationality Regulations  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_01/22cfr228\\_01.html](http://www.access.gpo.gov/nara/cfr/waisidx_01/22cfr228_01.html)

**D.5.2** A current Negotiated Indirect Cost Rate Agreement;

**D.5.3** Leveraging of all alliance partners is highly encouraged and will be considered in the evaluation process.

**D.5.4** Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

- a. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
- b. Projected budget, cash flow and organizational chart;
- c. A copy of the organization's accounting manual.

**D.5.5** Copies of Personnel, Procurement and Travel Policies or Certificate of Compliance (preferred)

<http://www.usaid.gov/policy/ads/300/30359s1.pdf>

## ATTACHMENT E

## EVALUATION CRITERIA

The following criteria will be used to evaluate the application:

Criterion	Points
a. Technical Approach	30
b. Key Personnel Qualifications	20
c. Management Plan	10
d. Award Monitoring Plan	10
e. Past Performance and Institutional Capability	30
<b>Total</b>	<b>100</b>

## a.

**Technical Approach 30 points**

- A methodology and technical approach that indicates a sound understanding of the challenges and opportunities in organic agriculture, and workforce development and vocational skill training in the exile Tibetan settlements in India, Nepal, and Bhutan;
- A firm understanding of: 1) EDOTS project objectives and deliverables by each components, 2) the underlying development hypothesis regarding economic revitalization of the exile Tibetan settlements, and 3) how activities, outputs and outcomes will lead to the desired results;
- Maximized inclusion and development of women in proposed activities in agriculture and workforce development;
- Geographic Focus:  
Implementation will occur in select Tibetan communities in India, Nepal, and Bhutan. When selecting settlements, Applicants will be asked to consider both the levels of unemployment among the Tibetans as well as the potential for replication in other settlements. For example, in Tashiling in Pokhara, Nepal, the unemployment rate was 15 percent, 30 percent in Dhonden Ling in Kollegal in Karnataka State of India, and 16 percent in Phuntsoling in Orissa State of India. Furthermore, an analysis of the Tibetan communities in the three countries revealed that the Kalsangling Tibetan settlement in Bhutan, the Delekling, Chialsa, Solukhumbu Settlement in Nepal and the Darjeeling settlement in India all share similar levels of altitude<sup>20</sup>. Lessons learned from a pilot in one of these settlements could be applied to the others.

<sup>20</sup> Source: Central Tibetan Relief Committee website, <http://www.tibetgov.net/settlements.html>

- Clear coordination with the Central Tibetan Administration and/or settlement officials and how this program will work towards the goal of ensuring replication elsewhere in the Tibetan communities.

**b. Key Personnel Qualifications 30 points**

- The quality of personnel will be evaluated based on their sector-specific qualifications, professional competence, relevant academic background, demonstrated success in carrying out proposed activities as well as their knowledge in implementing relevant technical areas;
- Applicability of expertise and management experience of personnel, knowledge and/or experience with Tibetan refugees in India, Nepal, Bhutan or the South Asia region;
- Proposed key project personnel have appropriate credentials and relevant experience in agricultural development and workforce development/education; and,

**c. Management Plan 10 points**

Management Approaches will be evaluated based upon the following:

- Strength of meaningful organizational linkages:
  - To parent organization(s).
  - Among organizations, where teaming is proposed.
- Communication procedures:
  - Among the program management team members.
  - To USAID.
  - To parent organization(s).
  - Among organizations, where teaming is proposed.
  - Clear lines of responsibility and authority:
  - Of each program team member.
  - Between program members and parent organization(s).
  - Among organizations, where teaming is proposed.
- Strong problem-resolution strategies:
  - For the program team members.
  - Between the program team members and the CTO.
  - Between the program team members and the parent organization(s).
  - Among organizations, where teaming is proposed.
- Success in prior program management efforts. In addressing this item, applicants should cross-reference the material related to past performance."

**d. Award Monitoring Plan 10 points**

The AMP will be evaluated based upon the following:

- Soundness:
  - The AMP described by the Recipient must relate each of the components therein to the particular AMP. An AMP which merely provides boiler plate statements or

- generalities about the organization's performance monitoring practices will be rated downward accordingly.
- Assumptions linking activities to Agreement results must include clear rationale and support for making the assumption.
  - Proposed monitoring methods for each activity must fit the activity to be monitored and demonstrate cost-effectiveness and efficiency considering the nature and scope of the program, including the level of risk and the impact of failure.
  - The AMP must include a mechanism for oversight and verification of monitoring conducted by field staff.
- Clarity:
    - The AMP must be written in a manner that those involved in monitoring can understand and without lengthy theoretical discussions or jargon.
    - Proposed subgrants must be well-integrated into the AMP and allow for the prime awardee to maintain oversight of the entire AMP strategy while those closest to the activities conduct the monitoring.
    - Monitoring methods and roles and responsibilities must be appropriate to the AMP strategy and the indicated organizational and system resources to support the AMP.
  - Completeness:
    - The AMP must meet the requirements contained in this solicitation.
  - Gender Consideration:
    - USAID will require potential applicants to be well aware of all gender issues related to the Tibetan exile community in India, Nepal, and Bhutan. Applicants should be able to design activities to maximize the inclusion and development of women in the development activities for both the agriculture and the workforce development component. The project must be able to analyze data, and submit to USAID, gender-sensitive indicators, gender-disaggregated data and present applications addressing gender-related issues, test those methods in new or existing models, and report on the impact among both men and women.
    - To the greatest extent possible, the Applicant shall see to include both men and women in all aspects of this program including participation and leadership in e.g., meetings, training, etc.

- o In order to ensure that USAID assistance makes the maximum optimal contribution to gender equality, performance management systems and evaluations must include gender-sensitive indicators and sex-disaggregated data when the technical analyses supporting the Agreement demonstrates that:
  - a. The different roles and status of women and men affect the activities to be undertaken; and
  - b. The anticipated results of the work would affect women and men differently.

**e. Past Performance and Institutional Capability 30 points**

- Past institutional experience of similar partnerships, alliances, projects and activities that involved planning, oversight and implementation of agricultural and education/workforce development programs in India, Nepal, Bhutan or South Asia; and,
- Timeliness of performance, including adherence to schedules and other time-sensitive project conditions, and effectiveness of personnel to make prompt decisions and ensure efficient operation of tasks.

**Total Points**

**100 points**

## ANNEXES

- I. **Central Tibetan Relief Committee websites**  
**Locations:**<http://www.tibetgov.net/set-map.htm>;  
<http://www.tibetgov.net/settlements.html>
- II. **TechnoServe: The Economic Development Program of Tibetan Refugees in India: Improving the Quality of Life through the Creation and Enhancement of Livelihood Opportunities (May 2010)****Location:**  
<http://www.usaid.gov/in/working with us/business grant opportunities.html>
- III. **Bhat, Basanta. A National Profile on Organic Agriculture of Nepal.**  
**Location:**<http://www.intracen.org/organics/documents/Nepal PPT.pdf>
- IV. **Duba, Sangay. Promoting Organic Farming in Bhutan: A Review of Policy, Implementation, and Constraints (August, 2008)**  
**Location:**<http://www.fao.org/sard/common/ecg/3120/en/BhutanEngNov08case.pdf>
- V. **Tibet Justice Center. Tibet's Stateless Nationals: Tibetan Refugees in Nepal (2002)**  
**Location:**<http://www.tibetjustice.org/reports/nepal.pdf>
- VI. **The Tibet Fund Annual Report 2009**  
**Location:**<http://www.tibetfund.org/annual reports/2009report.pdf>
- VII. **The Global Gender Gap Report 2010**  
**Location:**<http://www3.weforum.org/docs/WEF GenderGap Report 2010.pdf>
- VIII. **Demographic Survey of Tibetans in Exile, December 2010**  
**Location:**<http://phayul.com/news/article.aspx?id=24426&article=CTA+to+conduct+second+demographic+survey+of+Tibetans+in+exile>
- IX. **Integrating ICT into Value Chain Development** **Location:**  
<http://www.usaid.gov/in/working with us/business grant opportunities.html>
- X. **GMED Final Report Oct. 1, 2004 to Nov. 15, 2008** **Location:**  
<http://www.usaid.gov/in/working with us/business grant opportunities.html>
- XI. **STANDARD FORM 424, Application for Federal Assistance..... Page 56**
- XII. **STANDARD FORM 424A, Budget Information-Non Construction Programs. Page 58**
- XIII. **ADDITIONAL GUIDANCE- SAMPLE BUDGET..... Page 64**
- XIV. **LOCAL COMPENSATION PLAN..... Page 67**
- XV. **BRANDING STRATEGY AND MARKING PLAN FORMAT..... Page 76**

# APPLICATION FOR FEDERAL ASSISTANCE

Version 7/03 **ANNEX-XI**

REDACTED 386-11-000001

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		<b>Organizational Unit:</b>	
		Department:	
Organizational DUNS:		Division:	
<b>Address:</b>		<b>Name and telephone number of persons to be contacted on matters involving this application (give area code)</b>	
Street:		Prefix:	First Name:
City:		Middle Name	
County:		Last Name	
State:	Zip Code	Suffix:	
Country:		Email:	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		Phone Number (give area code)	Fax Number (give area code)
<b>8. TYPE OF APPLICATION:</b>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> If revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.)  Other (specify) <input type="checkbox"/> <input type="checkbox"/>		<b>7. TYPE OF APPLICANT:</b> (See back of form for Application Types)  Other (specify)	
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b>  TITLE (Name of Program): <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		<b>9. NAME OF FEDERAL AGENCY:</b>	
<b>12. AREAS AFFECTED BY PROJECT</b> (Cities, Counties, States, etc.):		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>	
<b>13. PROPOSED PROJECT</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
Start Date:	Ending Date:	a. Applicant	b. Project
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Federal	\$ .00	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON  DATE:  b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372  <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant	\$ .00		
c. State	\$ .00		
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
g. TOTAL	\$ .00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No	
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>			
<b>a. Authorized Representative</b>			
Prefix	First Name	Middle Name	
Last Name		Suffix	
b. Title		c. Telephone Number (give area code)	
d. Signature of Authorized Representative		e. Date Signed	

Previous Edition Usable  
Authorized for Local Reproduction

Standard Form 424 (Rev.9-2003)  
Prescribed by OMB Circular A-102

**INSTRUCTIONS FOR THE SF424**

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. <div style="display: flex; justify-content: space-between;"> <div> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District </div> <div> I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Net for Profit Organization </div> </div>	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: - "New" means a new assistance award. - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: <div style="display: flex; justify-content: space-between;"> A. Increase Award C. Increase Duration </div> <div style="display: flex; justify-content: space-between;"> B. Decrease Award D. Decrease Duration </div>	18.	To be signed by the authorized representative of the applicant A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

**BUDGET INFORMATION - Non-Construction Programs****ANNEX-XII**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assist- ance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.	-					
2.	-					
3.	-					
4.	-					
5. Totals						
6. Object Class Categories		Grant Program Function or Activity				
		(1)	(2)	(3)	(4)	
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (Sum of 6a-6h)						
j. Indirect Charges						
k. TOTALS (Sum of 6i and 6j)						
7. Program Income						

## BUDGET INFORMATION Non-Construction Programs (cont'd)

(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	
8.					
9.					
10.					
11.					
12. TOTAL (Sum of lines 8-11)					
		Total Amt 1st Year	1st Quarter	2nd Quarter	3rd Quarter
13. Federal					
14. Non-Federal					
15. TOTAL (Sum of lines 13 and 14)					
(a) Grant Program		FUTURE FUNDING PERIODS (Years)			
		(b) First	(c) Second	(d) Third	
16.					
17.					
18.					
19.					
20. TOTAL (Sum of lines 16-19)					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

**Standard Form 424A (cont'd.)*****INSTRUCTIONS FOR THE SF 424A***

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Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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**General Instructions**

This form is designed so that application can be made for funds from one or more programs. In preparing the budget, adhere to any existing Federal or agency guidelines, which prescribe how, and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, or agencies may require budgets to be separately shown by function or activity. For other programs, or agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods.

All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

**Section A. Budget Summary Lines 1-4 Columns (a) and (b)**

For applications pertaining to a *single* Federal program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

**Lines 1-4, Columns (c) through (g)**

*For new applications*, leave Columns (c) and (d) blank. For each line Entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

*For continuing program applications*, submit these forms before the end of each funding period as required by the ordering agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the funding period only if the Federal or agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

*For supplemental s and changes to existing s*, do not use Columns (c) and (d). Enter in Column (e) the amount of the

increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** - Show the totals for all columns used.

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**Standard Form 424A (cont'd.)****INSTRUCTIONS FOR THE SF 424A (continued)****Section B. Budget Categories**

In the column headings (1) enter Federal, and (2) enter Non-Federal. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i** - Show the totals of Lines 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new s and continuation s the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental s and changes to s, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal or

agency in determining the total amount of the .

**Section C. Non-Federal Resources**

**Lines 8-11** - Enter amounts of non-Federal resources that will be used on the . If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants who are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

**Section D. Forecasted Cash Needs**

**Line 13** - Enter the amount of cash needed by quarter from the ordering agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

**Section E. Budget Estimates of Federal Funds Needed for Balance of the Project**

**Lines 16-19** - Enter in Column (a) the same program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing s.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

**Section F. Other Budget Information**

**Line 21** - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal or agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.

**SF 424A (Rev. 4-92) Page 4**

**ADDITIONAL GUIDANCE- SAMPLE BUDGET**

**The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):**

a. **Personnel**

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

b. **Fringe Benefits**

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

c. **Travel**

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per-diems are based on established policies.

d. **Equipment**

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

e. **Supplies**

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs can obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads/300/312/htm>.

f. **Contractual Services**

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-s, which should be included in other.

g. **Construction**

Applicants should include all labor and material and supplies for construction projects.

h. **Other**

Applicants are to identify all costs associated with training of project personnel.

Applicants planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The applicant should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

i. **Indirect Charges**

Include a copy of the Applicant's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate.

Standard Form 424A, Section C should reflect the Applicant's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S.

or host country sources. The cash value of donated equipment or supplies must be documented, etc

Applicants are required to summarize cost data using development-focused budgeting (DFB) - (see Paragraph A.4 of Attachment A) in cost applications submitted in response to this solicitation. DFB is a customer-based, performance-driven, results-oriented budget system underpinned by outcome management. Outcome management is a management approach that focuses on the development results achieved by providing a service. DFB involves summarizing cost data corresponding to development results/outcomes. Cost data must be summarized into DFB categories. If an input serves multiple development results, the applicant must allocate the input across the corresponding results and provide a rationale in the budget narrative for the method used for each allocated input.

Development focused Budget line items	- (in US\$)			
	Add USAID Share	Cost Share	Leveraging	Total
<u>Component 1:</u> Improve Organic Agricultural Production and Output				
<u>Component 2:</u> Improve Capacity for Workforce Development				
Indirect Costs				
Total				

1. All local costs shall be reflected in local currency and converted in the neighboring cell using the exchange rate of 1US\$ to Indian Rupee 44.30
2. Individual subawardees should include the same cost element breakdowns in their budgets as applicable.

## ANNEX-XIV

## Local Compensation Plan - India

FSN Grade (40 Hrs. Workweek)	Range from Step 1 - Step 14
<u>Amounts in INR</u>	
FSN-12	1,303,046 to 1,944,538
FSN-11	1,108,934 to 1,633,952
FSN-10	827,731 to 1,194,838
FSN-9	590,277 to 883,967
FSN-8	477,416 to 712,625
FSN-7	363,556 to 545,458
FSN-6	274,605 to 410,566
FSN-5	221,258 to 325,209
FSN-4	181,137 to 263,118
FSN-3	136,973 to 206,084
FSN-2	119,019 to 179,453
FSN-1	101,549 to 151,501

1. The above includes the following Allowances: Housing, Accommodation, Leave Travel, Conveyance, Loan Allowances.
2. The above does not include the following benefits : Bonus, Provident Fund, Superannuation Fund, Gratuity, and insurance benefits

**GENERAL GRADE LEVEL GUIDES**

The General Grade Level Guides presented on the following pages have been prepared as guidance in determining the grade levels of positions for which no classification standards exist. The Guides should be used in classifying such positions in conjunction with standards for other positions considered to have characteristics in common with the position to be classified. For example, in classifying an administrative assistance or administrative specialist position, it would be logical to examine standards for positions within the administrative area, e.g., budget and fiscal, procurement, supply, etc. In classifying professional positions, it would be logical to examine standards for professional positions. The Guides define the level of work appropriate to each grade, indicate the language, education, and experience desired or required of incumbents of positions at that grade, and indicate the occupations for which standards have been prepared at each grade.

**FSN-1**

This is the entrance level for routine, unskilled types of work. It includes the most routine custodial and manual positions found at this level. Most positions require no more than Level 1 English ability (rudimentary knowledge). Classification standards depicting the FSN-1 level has been prepared for: Janitor/Janitress; Laborer; Watchman etc.

**FSN-2**

This level includes positions the duties of which are to perform entrance level trade or craft tasks, manual positions involving routine maintenance of vehicular equipment, operation of simple, low pressure heating plant equipment, and entrance level clerical positions performing simple filing, record keeping, and mail sorting. Up to six months of experience is desirable. Most non-clerical positions require little formal education and no more than Level 1 English ability (rudimentary knowledge). Some secondary school education is desirable for the clerical positions. Level 2 English ability (limited knowledge) is sufficient for most clerical positions at this grade. Classification standards depicting the FSN-2 level have been prepared for: Duplicating Equipment Operator; File Clerk; Gardener; Guard; Heating Plant Operator; Janitor Supervisor; Mail Clerk; Motor Vehicle Serviceman; Trades Helper; Warehouseman, etc

**FSN-3**

This level is characterized by the performance of semi-skilled trades and crafts duties and routine clerical duties. It is the intermediate level (between the entrance level and full performance or skilled journeyman level) for trade and craft positions. In addition to semi-skilled trade and craft positions, other manual positions involve operation of the simpler utilities equipment and driving an automobile as a motor pool chauffeur.

Clerical positions involve routine clerical duties such as records maintenance, working at a telephone switchboard, and/or typing a variety of narrative and tabular material. Elementary school education is desirable for manual positions and secondary school education is desirable for clerical positions. Manual positions require Level 1 (rudimentary knowledge) to Level 2 (limited knowledge) English ability and clerical positions require Level 2 to Level 3 (good working knowledge) English ability. Up to one year of experience is required for both manual and clerical positions at this level. Classification standards depicting the FSN-3 level have been prepared for: Automotive Mechanic; Boiler Operator; Chauffeur; Clerk Typist; Distribution Clerk; Operator; Guard; Mail Clerk; Maintenance Man; Mechanic; Offset Press Operator; Power Plant Operator; Receptionist; Sewage Disposal Plant; Telephone Operator; Water Plant Operator, etc

**FSN-4**

This is the full performance or skilled journeyman level for trade and craft positions. Employees at this level must be able to perform the full scope of their positions with a minimum of supervisory guidance. Clerical positions require familiarity with office practices and procedures and the ability to follow through in order to obtain the required results. They also must exercise judgment and apply pertinent regulations. Completion of secondary school, one to one and one-half years of experience, and Level 3 (good working knowledge) of English is required for clerical positions at this level. Trade and craft positions require completion of an apprenticeship, vocational training, or experience recognized as producing journeyman level skills and one to one and one-half years of experience at the journeyman level. Level 1 English ability (rudimentary knowledge) is sufficient for most manual jobs, although a few positions may require a Level 2 (limited knowledge) English ability. Completion of elementary school is required. Classification standards depicting the FSN-4 level have been prepared for: Automotive Mechanic; Automotive Mechanic (Body & Fender); Boiler Operator; Clerk; Chauffeur; Clerk Stenographer; Clerk Typist; Dispatcher; Distribution Clerk; Federal Benefits Clerk; Furniture Repairman; Guard; Guard/Receptionist; Locksmith; Machinist; Mail Clerk; Maintenance Man; Mechanic (Building Trades); Office Machine Repairman; Offset Press Operator; Passport and Citizenship Clerk; Power Plant Operator; Procurement Clerk; Receptionist; Refrigeration and Air-Conditioning Mechanic; Special Consular Services Clerk; Supply Clerk; Telephone Installer & Repairman; Telephone Operator; Teletype Operator; Upholsterer; Visa Clerk; Voucher Examiner, etc.

**FSN-5**

Clerical positions at this level involve the performance of responsible work requiring the exercise of judgment, knowledge of a specialized subject matter and the regulations

pertaining thereto. Journeyman level clerical positions in various program areas are at this level. Manual positions are working supervisors of three to six skilled and semiskilled employees in trade and craft positions. Manual positions require some secondary school education, plus an apprenticeship, vocational training or experience recognized as providing journeyman level skills, and one and one-half years of journeyman and six months of supervisory experience. Level 2 English ability (limited knowledge) is sufficient for most manual positions, but a few require Level 3. Level 3 English ability (good working knowledge), and one and one-half to two years of experience is required for most clerical positions. Classification standards depicting the FSN-5 level has been prepared for: Accounts Maintenance Clerk; Automotive Mechanic Foreman; Cashier (Consular); Central Office Telephone Mechanic; Clerk Stenographer; Consular Investigations Clerk; Distribution Clerk Federal Benefits Clerk; Guard Supervisor; Library Clerk; Library Clerk (LOC); Mail Supervisor Maintenance Foreman; Medical Technician; Participant Training Clerk; Payroll Clerk; Personnel Clerk; Program Clerk; Purchasing Agent; Receptionist; Secretary; Security Clerk; Shipment Clerk; Special Consular Services Clerk; Supply Clerk; Telephone Supervisor; Teletype Mechanic; Teletype Operator; Travel Clerk; Utilities Foreman; Visa Clerk; Voucher Examiner; Work Control Clerk, etc.

**FSN-6**

This is the senior or top clerical level involving the performance of the most difficult clerical work requiring the exercise of judgment, knowledge of a specialized subject matter, and the application of extensive rules and regulations. Included also in this class are supervisors of clerical positions and secretaries to American officials performing major functions. Manual positions are supervisors of established units of from eight to fifteen skilled and semi-skilled employees, and have continuing management responsibility for the efficient use of equipment, materials, and manpower. Manual positions require some secondary school education, plus vocational training, an apprenticeship or experience recognized as producing journeyman level skills and one and one-half years of journeyman level skills and supervisory experience. Level 2 English ability (limited knowledge) is required for most manual positions but a few require Level 3. Clerical positions require completion of secondary school, two to two and one-half years of experience, and Level 3 English ability (good working knowledge). Classification standards depicting the FSN-6 level have been prepared for: Accounts Maintenance Clerk; Distribution Record System Clerk; Audio Visual Technician; Automotive Mechanic Foreman; Cashier; Clerk Stenographer; Commercial Clerk; Customs Expediter; Distribution Supervisor; Guard Supervisor; Language Instructor (Circulation/Reference); Library Assistant

(Technical Services); Library Clerk (LOC); Maintenance Foreman; Maintenance Inspector; Medical Technician; Motor Pool Supervisor; Nurse; Participant Training Clerk; Payroll Clerk; Payroll Liaison Clerk; Personnel Clerk; Program Clerk; Secretary; Shipment Clerk; Storekeeper; Telephone Supervisor; Teletype Supervisor; Utilities Foreman; Visa Clerk; Voucher Examiner, etc

**FSN-7**

This level includes junior assistant positions in administrative, technical, and program areas including AID, USIS, FCS, FAS, and other associated agency program areas. Such positions require a good general knowledge and application of the policies and procedures, rules and regulations of a particular subject matter area, or substantive knowledge of that area, and work under general instructions with work reviewed for accuracy of results. This level also includes supervisors of clerical functions of substantial size, and employees in charge of the maintenance function at small posts. The secretary to the ranking official of a large consulate or associated agency mission is also placed in this level when the official has no American secretary. In addition to completion of secondary school, some additional technical or collegiate education is desirable. From one to three years of experience, and Level 3 English ability (good working knowledge) are required. Classification standards depicting the FSN-7 level have been prepared for: Accounting Technician; Arts and Graphics Assistant; Audience Record System Assistant; Audio Visual Technician; Budget Analyst; Cashier; Commercial Assistant; Consular Investigations Assistant; Cultural Affairs Assistant; Distribution Assistant; Economic Assistant; Engineering Draftsman; Federal Benefits Assistant; Information Assistant; Language Instructor; Librarian (LOC); Maintenance Supervisor; Passport and Citizenship Assistant; Payroll Supervisor; Personnel Assistant; Political Assistant; Protocol Assistant; Purchasing Agent; Reference Librarian; Secretary; Shipment Assistant; Shipment Assistant (POV); Special Consular Services Assistant; Supervisory Voucher Examiner; Technical Services Librarian; Translator; Travel Assistant; Visa Assistant, etc.

**FSN-8**

This is the fully qualified level for assistant positions in administrative, technical, and program areas including AID, USIS, and other associated agency program areas. The difficulty of the work performed requires considerable experience and training and a thorough knowledge of policies, procedures, rules and regulations, and/or extensive subject matter knowledge in a particular field. Employees are expected to resolve most problems and execute assignments with supervision limited primarily to the review of end product results. The secretary to the ranking officer of a very large consulate or associated agency mission is also placed in this level when the official has

not American secretary. These positions require completion of secondary school, and some collegiate or technical training is desirable. Two to four years of experience is necessary. Level 3 English ability (good working knowledge) is required. Classification standards depicting the FSN-8 level have been prepared for: Accounting Technician; Art and Graphics Assistant; Distribution Record System Assistant; Budget Analyst; Cashier; Commercial Assistant; Consular Investigations Assistant; Cultural Affairs Assistant; Development Loan Assistant; Distribution Assistant; Economic Assistant; Federal Benefits Assistant; Information Assistant; Librarian (LOC); Maintenance Supervisor; Nurse; Participant Training Assistant; Passport & Citizenship Assistant; Payroll Supervisor; Personnel Assistant; Procurement Agent; Program Assistant; Protocol Assistant; Reference Librarian; Scientific Affairs Assistant; Security Investigator; Shipment Assistant; Special Consular Services Assistant; Supervisory Audio Visual Technician; Supervisory Language Instructor; Supervisory Voucher Examiner; Supply Supervisor; Technical Services Librarian; Travel Assistant; Visa Assistant, etc.

**FSN-9**

This is the senior assistant level for technical and administrative management positions. No supervisory technical positions at this level involve fact finding, research, analysis, and interpretation of factual data in the field of the employee's expertise. Administrative management positions are supervisory and typically involve management of a function and personal performance of the most difficult work of the function, including evaluation of complex facts and the interpretation of laws, regulations, and instructions in their application to specific situations. Incumbents of positions at this level are expected to complete assignments with a minimum of supervision. These positions require completion of secondary school, and some collegiate or technical education is desirable. Three to five years of progressively responsible experience is required. Many positions at this level requires Level 4 English ability (fluent). Classification standards depicting the FSN-9 level has been prepared for: Agricultural Assistant; Art & Graphics Assistant; Distribution Record System Assistant; Budget Analyst; Consular Investigations Assistant; Cultural Affairs Assistant; Distribution Assistant; Economic Assistant; Federal Benefits Assistant; Information Assistant; Labor Assistant; Librarian (LOC Acquisitions); Librarian (LOC Cataloging); Participant Training Assistant; Passport & Citizenship Assistant; Personnel Assistant; Political Assistant; Procurement Agent; Program Assistant; Reference Librarian; Scientific Affairs Assistant; Security Investigator; Shipment Supervisor; Special Consular Services Assistant; Supervisory Accounting Technician; Supply Supervisor; Technical Services Librarian; Trade Center Assistant Translator; Visa Assistant, etc.

**FSN-10**

This is the lowest of three levels of professional or specialist positions. Incumbents of positions at this level personally perform, and in some cases supervise other employees engaged in, a major segment of a professional, technical or program area, including AID, USIS, FCS, FAS, and other associated agency program areas. Incumbents of such positions must understand and apply a highly technical body of knowledge usually obtained through collegiate study, as well as applicable laws and agency regulations and instructions. This level also includes supervisory positions in the administrative management area with equivalent requirements. Incumbents of positions at this level are expected to perform difficult duties with a minimum of supervision. A collegiate education with the equivalent of an A.B. or B.S. degree is required, with only rare exceptions. Four to six years of progressively responsible experience in the professional, technical, or administrative management area is required. Level 4 English ability (fluent) is usually required. Classification standards depicting the FSN-10 level have been prepared for: Agricultural Research Specialist; Agricultural Specialist; Arts & Graphics Specialist; Distribution Record System Specialist; Budget Analyst; Civil Aviation Specialist; Commercial Specialist; Cultural Affairs Specialist; Development Loan Specialist; Distribution Specialist; Economic Specialist; Geographic Specialist; Information Specialist; Librarian (LOC); Library Director; Maintenance Supervisor; Participant Training Specialist; Passport and Citizenship Specialist; Personnel Specialist; Procurement Supervisor; Program Specialist; Security Investigator; Special Consular Services Specialist; Trade Center Specialist; Travel Promotion Specialist; Visa Specialist, Etc/

**FSN-11**

This is the middle of three levels of professional or specialist positions; however, it is the highest level usually attainable in a professional, technical, program, or administrative management area, even in a large overseas establishment. Under the direction of an American official, but with wide latitude for planning, organizing, and executing assigned responsibilities, supervises the accomplishment of or personally performs the most difficult and complex work involved in a professional, technical, or program area, including AID, USIS, FCS, AID, and other associated agency program areas. Incumbents of such positions must understand and apply a highly technical body of knowledge usually obtained through collegiate study, as well as applicable laws and agency regulations and instructions. This level also includes supervisory positions in the administrative management area with equivalent requirements. Guidance received from the American supervisory official is almost wholly related to policy, program objectives, and priorities. Within such guidelines,

incumbents of positions at this level plan and undertake important projects and carry them to completion without significant supervision. Demands are heavy on initiative, resourcefulness, and sound judgment. Typically, incumbents of positions at this level have important contacts with senior business, government, and community officials. A collegiate education with the equivalent of an A.B. or B.S. degree and from five to seven years of progressively responsible experience in the professional, technical, or administrative management area are required. Level 4 English ability (fluent) is usually required. Classification standards depicting the FSN-11 level has been prepared for: Agricultural Specialist; Arts & Graphics Specialist; Commercial Specialist; Cultural Affairs Specialist; Economic Specialist; Engineer; Information Specialist; Labor Specialist; Library Director; Passport & Citizenship Specialist; Personnel Specialist; Political Specialist; Program Specialist; Scientific Affairs Specialist; Visa Specialist, etc.

**FSN-12**

This is the highest of three levels of professional or specialist positions and the highest grade in the Interagency Foreign Service National Position Classification Plan. Relatively few overseas establishments will warrant an FSN12 position; the establishment of more than one FSN-12 position within the same broad professional, technical, or program area, e.g., political, economic, cultural, information, etc., is seldom warranted. Positions at this level are those of highly qualified and recognized experts. Under the direction of an American official, they supervise or personally perform difficult and complex work involving the full scope of a professional, technical or program area, including AID, USIS, FCS, FAS and other associated agency program areas, in one of the most important country programs of its kind in the world. Incumbents of such positions apply a highly technical body of knowledge of applicable laws and agency regulations and instructions. These positions often call for originality of ideas and creative thinking in dealing with problems or matters for which there is little precedent, and usually require that the employee be able to interrelate the pertinent subject matter with a broader spectrum, as would be the case in considering the impact of important political developments on domestic and international economic developments. Where the emphasis is on reporting covering a broad spectrum of complex subject matter and requiring the exercise of independent judgment in projecting future developments or trends. Substantial reliance is placed upon the employee's professional acumen and judgment, and his/her advice is sought on important and at times on extremely sensitive matters; in functional programs that involve comprehensive program planning, the employee participates actively in the planning process. Positions at this level are largely independent of technical supervision; guidance from American supervisors is primarily with regard to policy,

priorities, results to be achieved, basic approaches to be followed, and in the case of positions involving reporting, the nature and basic content of reports. Employees at this level develop and maintain an extensive range of important contacts with senior level business and government officials and with community leaders for the purpose of obtaining or verifying information which is not otherwise available. Incumbents of these positions normally possess the equivalent of an A.B. or B.S. collegiate degree in a field of study closely related to their assigned responsibilities; in many instances, postgraduate education are needed. A minimum of six to eight years of progressively responsible experience in the area of their assignment is needed. Level 4 English ability (fluent) is usually required. Supervision over others is not normally a significant factor in justifying the classification of a position at the FSN-12 level. Classification Standards depicting the FSN-12 level have been prepared for: Agricultural Research Specialist; Agricultural Specialist; Chief Librarian (LOC); Commercial Specialist; Cultural Affairs Specialist; Economic Specialist; Engineer; Information Specialist; Library Director; Medical Officer; Political Specialist; Program Specialist; Scientific Affairs Specialist; Supervisory Budget Specialist; Visa Specialist, etc.

## ANNEX-XV

**BRANDING STRATEGY AND MARKING PLAN FORMAT**

USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments - such as grants, cooperative agreements, or other assistance awards that usually require a cost share - generally are "co-branded or co-marked." In accordance with 22 CFR 226.91, this policy applies to these assistance awards even when the award does not require any cost sharing.

Co-branding and co-marking means that the program name represents both USAID and the implementing partner, and the USAID identity and implementer's logo must both be visible with equal size and prominence on program materials produced for program purposes.

This sample/template based on ADS 320.3.3 and 22 CFR 226.91 branding and marking requirements for assistance awards only. The recipient, by responding to the questions in italics, will be able to substantially comply with the ADS and CFR requirements.

**THIS PORTION TO BE COMPLETED BY THE RECIPIENT****"USAID BRANDING STRATEGY"****AWARD TITLE****AWARD NUMBER****DATE OF PLAN****1) Positioning**

What is the intended name of this program, project, or activity?

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

**2) Program Communications and Publicity**

Who are the primary and secondary audiences for this project or program?

What communications or program materials will be used to explain or market the program to beneficiaries?

What is the main program message?

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

### **3) Acknowledgements**

Will there be any direct involvement from a host country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

## **GENERAL INSTRUCTIONS**

USAID's policy requires non-U.S., non-governmental organizations, including cooperating country non-governmental organizations (and in rare cases, Public International Organizations) to follow marking requirements for assistance awards. Marking requirements, including requests for presumptive exceptions and waivers for assistance awards must be in accordance with 22 CFR 226.91.

With reference to ADS Sections 320.3.3.2 and 22 CFR 226.91 the Recipient shall prepare a Marking Plan containing information substantially similar to the sample provided below:

### **"USAID MARKING PLAN"**

**AWARD TITLE**

**AWARD NUMBER**

**DATE OF PLAN**

(1) Requirement: A description of the public communications, commodities, and program materials that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID identity. These include: (i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature; (ii) technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, websites/Internet activities, and other promotional, informational, media, or communication products funded by USAID; (iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and (iv) all commodities or equipment provided under humanitarian assistance or disaster relief programs, and

all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) Table of Supplies and Equipment to be used in a visible manner in the fulfillment of the goals of the \_\_\_\_\_ project and an indication of how and where they will be tagged with the USAID identity.

Supply/Equipment	Type of Marking	Where Marking Placed
Computers?	USAID Identifying vinyl label	On front of monitor
Printers?	USAID Identifying vinyl label	On top of printer
Field Backpacks?	USAID Identifying vinyl label	On outside of backpack

(3) Table of Deliverables expected to be produced in the conduct of this program: All deliverables will be marked in a visible manner with the USAID identity; below is an indication of what type of marking will be used and where on the deliverable the USAID identity will be placed.

Deliverable	Type of Marking	Where Marking Placed
Reports?	USAID printed identity	Front cover
Publications (brochures)?	USAID printed identity	Front cover
Website?	USAID web identity	Front page

(4) Sub-recipient: As specified in the standard provisions, the marking requirements will "flow down" to sub-recipients or sub-awards, and will include the USAID-approved marking provision in all USAID funded sub-awards, as follows: "As a condition of receipt of this sub-award, marking with USAID identity of a size and prominence equivalent to or greater than the recipient's, sub-recipient's, other donor's or third party's is required."

(5) Any "public communications," as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has been approved by USAID, will contain the following disclaimer:

"This study/report/audio-visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for

International Development (USAID). The contents are the responsibility of [insert recipient's name] and do not necessarily reflect the views of USAID or the United States Government."

(6) As specified in the standard provisions, \_\_\_\_\_ will provide the Agreement Officer's Technical Representative (AOTR) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, \_\_\_\_\_ will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.